INCOME ASSISTANCE
IN
NEW BRUNSWICK
OBJECTIVE 1990

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DEPARTMENT OF INCOME ASSISTANCE
PROVINCE OF NEW BRUNSWICK
MARCH 1987

"Feet on ground, feet on ground"
so I always heard it sound,
when my soul so light and bright
swung itself into the height.
Life's revenge will catch you soon,
if you try to reach the moon.
"Feet on ground, feet on ground",
so your triumph-hymn should sound.

POEM BY: HANS WILHELM KAALUND

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A - INTRODUCTION

In conducting the research for this project, it was realized very early that little is written on the subject of service standards for Income Security Systems. Most literature deals with policy or strategy in a very broad sense.

Nevertheless, I have found some related material that turned out to be very good sources of information. These sources helped me tremendously in my reflection. Much of this information will also be of advantage to many other areas of the department for purposes beyond the scope of the project.

The consultation process undertaken at all levels of the organization, with client groups, and on the national scene has also been extremely valuable in assessing our current position. I have much confidence that the general thrust emerging from this report is an appropriate reflection and consolidation of the comments received.

I would like to thank the department for giving me the opportunity to make these observations at a very critical stage of the department's short history. I would thank also, all those who have contributed and cooperated so very closely throughout the consultation process and during the redaction.

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B - THE SCOPE

To complement the Performance Improvement Process that is well underway, the Organizational Effectiveness Review will attempt to articulate, in operational terms, minimum services and program standards that are inherent to an Income Security System Program of last resort. In the context of a guaranteed annual income, the focus, the direction and results may well be different.

To harmonize those responsibilities, within the delivery structure, proposals will be made on work structuring and linkages which in turn may serve as a base for office structuring.

Respecting the above stated redefined standards, an attempt to determine base line numbers for human resource requirements will be made in a second phase of this project respecting acceptable workload standard and environment.

C - HISTORICAL PERSPECTIVE

To better understand the circumstances leading to this study and the rationale for some of the recommendations outlined herein, it is important to appreciate the major historical events that have impacted the department and its evolution.

Within the Department of Social Services, a separation of services leading to the creation of the Divisions of Personal Social Services and Income Maintenance was effected in 1976. It is fair to say that at the outset of separation, two schools of thought existed which resulted in a service model with more than one flavour.

The basic philosophical difference dealt with the hypothesis that Income or Social Assistance Programs should be delivered strictly through an administrative process. This philosophy was reflected and espoused in subsequent decisions. Others, while agreeing with the concept of separation of services, insisted that delivery of Social Assistance - program of last resort, had to contain some basic social and human elements that extend well beyond that which an administrative process can accommodate.

Unfortunately, the administrative process notion prevailed and resource allocation was made respecting that notion, while some local flavour and variations in support of the other approach were retained. This, by my

assessment, is the most important and the first of the five major historical events affecting the department today. That is to say that in 1976, the Income Maintenance Division was given a very narrow mandate and resource allocations (number and qualification) reflected this restrictive mandate.

The delivery model that emerged from this, for the period of 1976 to 1982, was characterized by two elements. Firstly, there was divisional overlapping in the delivery of Social Assistance Programs. The rule of thumb was that most functions requiring assessment or delicate inter-actions with the clients were made the responsibility of the P.S.S. Division, even though they were directly linked and inherent to the Social Assistance Programs. More specifically, these functions represented activities related to screening for services, determination of the unit type, assessment for employability, annual reviews, appeal process, and provision of emergency basic needs for protection cases.

During that period, the development of Personal Social Services was a departmental priority and this development was made in a sectorial approach. Referral for services of social assistance clients to the P.S.S. Division by I.M. for the most part, was only attended when the nature of the request clearly fit the criteria of P.S.S. program array. Provision of basic social support services, coaching, etc. was, in most instances, not seen as part of the new P.S.S. Divisional mandate and consequently created additional pressure on the I.M. system.

The model adjustment undertaken in 1982 was to address and eliminate the overlapping issues stated earlier, which became the source of many counter productive debates between staff of both Divisions. It was only natural to properly lodge the responsibilities associated with the programs with the Division responsible for the delivery of that program. The foregoing lead to the second major historical event of transferring a large responsibility to the I.M. Division, one that far exceeded the response capability of existing resources. This statement is not meant as a criticism but rather an acknowledgement of fact. Introduction of new legislation in P.S.S. activity and an increased array of services were also generating heightened demands on that side of the service spectrum. In fact, this was the first event that started the process of broadening our mandate.

However, the foregoing coupled with an increasing demand for services generally, forced us to priorize some functions ultimately resulting in an inability to meet the minimum requirements under the regulations. Furthermore, we were unable to adequately respond to primary social service demands, directed at the division, which were caused by the sectorial development of the present Community Social Services sector.

Thirdly, the development of the Upgrading, Training and Placement Program, and the phasing in of its related activities within the newly established Department of Income Assistance, represents another major milestone. The introduction of this new work within the organization, and

more importantly, within the delivery network, is received with enthusiasm but the degree of penetration is still shallow due to necessity of retaining a minimum response system associated with the maintenance of our traditional role.

Event number four is categorized by the very positive development of Community Voluntary Action. The department has taken a leadership role in developing a partnership with the voluntary sector in order to maximize community resources and to direct those resources toward the needy of the Province. Beside having the effect of improving our image in the community, the model promoted is that of clients helping themselves to improve their conditions and to reinstate a sense of self-worth within their lives. This approach to service delivery has its generic limitations. The nature of the work attached to this development requires some public relation skills and other types of involvement not normally carried out by the division traditionally.

The fifth and last major event is evidenced in the creation of the Department of Income Assistance and the integration of Community Social Services to the Department of Health. Respecting the thrust of the Government Reform, and in tandem with the tone emerging from the "Separation Papers" (I.M./C.S.S.), more responsibilities and work will yet be transferred to the Department of Income Assistance. This work will again have to be integrated within our field service delivery structure and will directly impact on workload and a corresponding broadening of the mandate.

D - CURRENT SITUATION ASSESSMENT

It has been stated in the Historical Section that the Income Maintenance Division had been given a very narrowly defined mandate in the early days of separation of services. The model adopted was very similar to the one utilized in the United States at the time. However, internal and external pressures have forced us to broaden this mandate over time. In New Brunswick this has occurred mostly through the backdoor, without formal recognition of this evolution. The manifestation of this evolution was rendered evident by:

a) The recognition of training requirements and subsequent development of a training program for Income Maintenance Officers.

b) An emerging evolution of departmental expectations from the same group of employees.

c) The development of and more importantly the flavour emerging from the document "Roles and Responsibilities of I.M.O.'s".

d) The departmental efforts to update and upgrade the related job descriptions.

While this is taking place in New Brunswick, the same phenomenon is happening in the United States. In a telephone interview, Joan Carrera stated:

> "When separation of services was introduced, the States overlooked the very important elements of the type of services or interventions and interactions that are inherent to the Income Security System".(1)

It is quite obvious that the Province of New Brunswick, like other jurisdictions that have strickly adopted a "process oriented" system of delivery, found that there is a need to reintroduce some of the "people and service oriented elements" in their system. It must be stressed, however, that a high demand for services and an inadequacy of resources are contributing factors in the retention of undesirable elements found in the "process oriented" system.

The challenge presented to us is to arrive at a proper service balance, without duplicating or overlapping with other service providers, while retaining the positive elements of the "process oriented" system. Moreover, after an extensive research and analysis of the evolution of Income Maintenance Workers in the United states, it was concluded that:

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(1) Joan Carrera is a Senior Researcher, Policy Analyst and Publisher with the U.S. Department of Health and Human Services.

> "The overlap between Income Maintenance Workers is primarily in the clients they serve not in the tasks they perform. This distinction is important because it emphasizes the point that I.M.W.'s must confront the emotional needs of the clients although it is not their primary responsibility to deal with them"(1)

I might add that when task overlapping occurs, it is for a different objective and it cannot be avoided.

If the forthcoming recommendations clearly suggest a progression toward the enhancement of the "people and service" component of the system, I must point out that this move is compatable with the approach of the other provinces that were reviewed. As a matter of fact, if we had to situate the Province of New Brunswick compared with the provinces reviewed operating within a separated model, "Figure 1", would be a good reflection of the situation. In reviewing the management expectation of client/staff interactions of those provinces, it can be affirmed that Manitoba and

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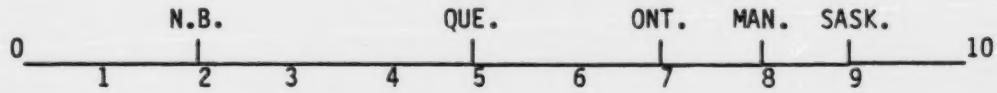
(1) U.S. Department of Health and Human Services Income Maintenance Work Study: A Two Way Taxonomy and Analysis Volume 1 - Final Report, Page I-8.

Saskatchewan are aware of their position and have no plan or desire to move in the other direction. Ontario is now in the middle of a major independent review of the provincial system of Social Assistance looking at some of the same issues. The comments collected from members of the Review Committee, the Manager and staff assigned to the project, and also reflecting the general thrust of the briefs presented, are conclusively supportive of any desired adjustments to the Ontario system to the right of the spectrum. Alberta, who is now setting the stage to separate Income Assistance from their Personal Social Services is contemplating a model, that based on the comments collected, would fit around 7 on the scale. All other provinces, that have chosen not to adopt a separated model, would generally be at 9 or 10 on the scale.

FIGURE 1

INTERPROVINCIAL COMPARISON

SOCIAL ASSISTANCE ONLY (EXCLUDING EMPLOYMENT SERVICES)



0 = CHEQUE PRODUCTION SYSTEM - MINIMUM HUMAN INTERFACE - ADMINISTRATIVE PROCESS.

10 = SOCIAL ASSISTANCE DELIVERY WITH HIGH DEGREE OF "PEOPLE SERVICE ELEMENTS", MORE COMPREHENSIVE INTERACTIONS.

The above illustrated situation, coupled with the fact that New Brunswick has been compared as the worst in the country for rate adequacy by the Social Planning Council of Metropolitan Toronto, is not placing the Income Assistance system in New Brunswick in a very enviable position.

Other service sectors have not been reviewed and it is not obvious that such a large gap would exist if we were to compare primary services in Education, Health and other social services with other provinces.

Before proposing some corrective actions, I must point to the fact that the movement toward the right end of the spectrum (Figure 1) has already begun. It has begun not only as a result of the fact that we had little choice in the matter, but also in that we were convinced it was the right thing to do. It is clear that the political forum has this expectation. The clients have similar expectations. The staff who are confronted on a daily basis with those expectations must react accordingly as all too often referrals to another service provider are not possible, as the nature of the service is inherent to the Income Assistance system albeit within a broader mandate. However, we must concentrate on our primary mandate which is to provide financial assistance to people in need while striving to enhance the ability of those clients to acquire a greater degree of self-sufficiency or to retain their self-sufficiency. Governed by this mission and supported by the following value statements:

> "That the responsibility of society is to provide support services to those who are in need, regardless of the cause of the need.(1)

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(1) D.I.A. Strategic and Tactical Goals 1986/87 - Value Statement #3

"That it is the right of the family as well as the individual to receive services in an equitable manner".

"That discrimination in any form is not acceptable, whether toward those for whom service is provided or toward those who provide the service".

"That government intervention in the lives of clients should be at least intrusive level necessary".(1)

The above represents the conditions upon which we agreed to assume our role and within this frame of context, all recommendations will be made. Unfortunately, the current situation makes it very difficult to properly assume our mandate and operate within the agreed principles and values. With the current volume and demand for services, the focus is on processing for obvious reasons. Asked about the ratio of time spent reacting to client demands compared to initiating action for services, follow-ups or control, the answers given by front line staff (I.M.O.'s) were between 75% to 100%

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(1) D.I.A. Stratecic and Tactical Goals 1986/87 - Value Statements 4, 5 and 6

reacting depending on the size of the caseload. This is an indication that we have to assign a disproportionate percentage of our resources attending the front door of the system; consequently the case management function is not very well attended.

These constraints are having a direct impact on staff and this is impacted, in turn, on clients. "In spite of staffs' best efforts, there exists strong evidence that some clients feel threatened, intimidated and scared by us"(1). The program design document for Upgrading, Training and Placement also speaks about a culture realignment required in the way in which the general Income Assistance Program is delivered in order to make it more compatable with the well articulated culture required for a successful introduction and application of Upgrading, Training and Placement initiatives and measures. This incompatability in culture is already manifesting signs of conflict within the delivery system from a client and staff point of view. It was evidenced during consultation interviews in Saint John that we are already having difficulty in finding readily motivated clients for participation in activities designed to increase their self-sufficiency. A we/they attitude is starting to develop between employees affected in each sector. This is further aggravated by the fact that we are now in the second year of delivering a very comprehensive training program for our Income Maintenance Officers. After completing modules, however, the employees are returned to an environment in which it is next to impossible to apply these newly acquired skills.

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(1) This was confirmed by staff and by a client group in Moncton

These issues must be addressed now by ensuring compatability between responsibility groupings, and by ensuring that the evolution and expansion of our mandate is not exclusively reflected under the Upgrading, Training and Placement development.

E - INCOME ASSISTANCE - OBJECTIVE 1990

It should be clarified that the following section is not an attempt to restate all the services, programs and administrative standards for an efficient delivery. The writer will try to focus on a few areas by bringing to the fore, elements that are needed in support of a more comprehensive system. The obvious, or more specifically, what is administratively related will not be restated.

Most of the elements I am about to introduce are not new. At present, many are informally utilized by some employees although it is not at all clear that it is a departmental expectation. I would like to point out that the program design for Upgrading, Training and Placement, and the "Role and Responsibilities of Income Maintenance Officers" document have contributed greatly to the advancement of the notions put forward. An attempt will be made in this document to articulate these elements in more concrete and operational terms, while taking into consideration our administrative and delivery obligation and the corresponding environment.

E,1 - GENERAL MANDATE

As stated earlier, a very narrow mandate was given to the Income Maintenance Division initially. Changes have taken place during the last ten years, and we are now at a critical stage in which it becomes necessary to assess our relative position with what the desirable course of action

should be. Of course, this must be done in harmony with other departments in order to prevent duplication or involvement in a sphere of activities that do not belong with an Income Security system. It is becoming very obvious that our role as "safety net" applies to social intervention, as well as financial intervention. To be successful in any type of intervention, the individual must be looked at as a whole to ensure that all the functioning elements are in harmony with each other. Consequently, the social/economic descriptor is a good reflection of what we are about; and what is expected of us by the political system, and the community, while remaining consistent with models and practices in place in other provinces and strongly supported by the public hearings of the Ontario Review. Also a U.S. study concludes:

> "Worker, supervisors and management have reiterated that the role of the Income Maintenance Worker is more than merely the clerical or financial side of social services, precisely because of the close interpersonal interaction involving basic needs of providing for food and shelter. Tasks performed that are not specifically needed to determine eligibility include(1)

(1) U.S. Department of Health and Human Services - Income Maintenance Work Study: A Two Way Taxonomy and Analasys, Volume 1 - Final Report, Page IV-25

> listening, explaining, coaching, assisting clients with a variety of problems, answering questions or referring to social services or a related agency. They are important and help workers to develop a rapport with their clients".(1)

Our progressive involvement in employment services no longer needs to be justified or debated. The delivery of Income Assistance, in a mechanical environment, was creating a feeling of "going no where" and perpetuating the poverty of the mind for the client. In his analysis of the future, Professor Macarov states that:

> "Many social initiatives will come into play designed to help people prepare for and seek jobs, on the one hand; and to help them accept if not enjoy, their workless situations on the other".(2)

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(1) U.S. Department of Health and Human Services - Income Maintenance Work Study: A Two Way Taxonomy and Analysis, Volume 1 - Final Report, Page IV-25

(2) The Role of New Social Initiatives Concerning Permanent Unemployment, Page 9

If we want to minimize the growth of the latter group, we must take an active role in employment services, a direction well entrenched in most Income Security systems in North America and Europe. At last, instead of dealing only with the effects of deprivation and enabling the entry of eligible clients into the system, we will accept the challenge of assisting clients toward self-actualization and self-sufficiency. In New Brunswick, the self-sufficiency objective and related components are stated in the U. T. & P. Program design document. I have not done a very detailed evaluation of similar measures in the other provinces, but it is obvious that our direction is sound and as comprehensive as is undertaken in most jurisdictions.

Since we have extensive contacts with a large number of families and individuals, we are also exposed to many delicate situations for which other social or human service agencies are mandated to respond. Consequently, we must ensure that staff acquire and practice assessment/detection and knowledge-based skills to appropriately refer clients to relevent internal or external service providers.

Recommendations

The department should formally accept and recognize while assuming our traditional role of providing financial assistance to eligible clients that:

a) We also act as a safety net for other social programs or social interventions.

b) We continue the current trend of providing employment or exit-related services to a greater number of clients as per U. T. & P. program design.

c) Referrals should be done respecting the general thrust elaborated in the I.M.O.'s Role and Responsibility document, (paragraph G, Annex 1).

E,2 - IMPROVING OUR KNOWLEDGE OF CLIENT CIRCUMSTANCES AND OUR RELATIONSHIP WITH THEM

The information requirement that flows from an administrative process as a delivery philosophy is very superficial. Irrespective of the assessment requirements for employment services, we need to expand our knowledge of clients with the specific objective of providing a better service and improving our relationship with the clients.

We all know that generally speaking, citizens of the province are coming to us because they have financial problems. Allowing that we are a helping and caring agency, responsible for ensuring that clients' basic needs are met, I believe that we have an obligation, without enfringing on client's right of privacy, to know more about his/her circumstances. This would improve our ability to focus on the real problem(s) and it would also assist us in future decisions in relation to their emergency or basic needs. In doing so, an analysis of the "problematic circumstances" of the client is the approach suggested. This would result in a return to a focus on individuals for which the system was conceived in the first place.

Similarly, under the assessment done for assistance under Section 4(4), a more comprehensive understanding of the problem(s) associated with the client's request for financial assistance is required.

The preceding notion creates an opportunity to develop a positive and helping relationship with the client. As stated earlier, some clients are threatened and intimidated by the system. We must address this in our attempts to instill a culture that is vital to the success of our efforts toward self-sufficiency, and the improvement of the quality of life while on social assistance. This will also result in humanizing the system, somewhat, for clients that need special attention. Judging from the following quote, "It is necessary to correct the current imbalance between a massive impersonal bureaucracy and the individual claimant"(1). If the foregoing is considered important within the Unemployment Insurance Environment, it is doubly important within a program of last resort or social assistance. It is believed that there is a vast difference in the behaviour of an individual that interfaces with another individual as opposed to an impersonal system. In the former approach the client will be less inclined to abuse and more inclined to cooperate.

Recommendations

Respecting individual's right for privacy and the limitations imposed by our mandate (provision of financial assistance and employment services) it is recommended:

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(1) Commission of Enquiry on Unemployment Insurance - 1986, Page 258

a) That our assessment process allow for a more comprehensive appreciation of the circumstances surrounding the client's request for financial assistance, and his/her "problematic circumstances".

b) That a positive and helping relationship be developed and maintained by the front line worker with his/her clients.

E,3 - PROVISION OF INFORMATION

There is strong evidence that this is an area where we find ourselves very inconsistent in our approach and for the most part failing. This is strongly supported by the PIP Registration Team and the findings of a research project investigating client's understanding of public program rules. The conclusion arrived at as a result of the latter sources is as follows:

> "Evidence existed that public program clients have a limited knowledge not only of issues but also of specific program rules with which they must live. This also has implications for the efficient administration of program since clients with low levels of knowledge may increase the administrative burden of program staff".(1)

(1) Canadian Public Administration/Administration du Canada, Article by S.E. Bennett, Page 468, Fall/Autumn 1986

It is believed that the nature of our business remains the key reason why we tend to pass on minimum information for fear that it may generate more demand. This activity is also influenced by the different beliefs or understanding about how we should conduct our business and the principles espoused. In other words, we are still to a large degree operating a "squeaking wheel" response system as opposed to a need analysis and response system.

In tandem with the previous recommendation we must ensure that accurate and comprehensive information is provided to clients in a timely and reliable manner. This information should include pertinent information about the process and the rights and responsibilities of clients with respect to benefits and services provided by our department and related services available in the community. A better informed client will increase staff accountability and enhance client satisfaction.

Recommendations:

Adopting the principles that clients have a right to know about all of our services and programs for which they are or may be eligible and how the system will interface with them, it is recommended:

a) That the general thrust emerging from the PIP - Registration Team be implemented.

b) That the client be explained the purpose and objective of all documents that he/she has to sign or use in the assessment process.

c) That the criteria and circumstances under which other benefits or services are being provided are communicated and understood.

d) That an overview of the continuing relationship for services and/or control purposes be explained.

e) That through all of this, the philosophy, values and principles espoused by the organization (organizational culture) be properly reflected.

f) That group sessions be utilized where and when appropriate.

E,4 - INTERVENTIONS

The preceding sections have clearly set the stage to articulate in more detail the types of interventions that are inherent to an Income Assistance system - program of last resort. As a social safety net, we need to adopt a more global and balanced approach to service delivery and to provide some basic counseling services in order to carry out our responsibilities to the clients. Counseling here is meant to denote a facilitating service, rather than an end in itself and the primary focus lending to requirements for basic maintenance, and more generally, related to the physical needs of the client. This is generally done by assisting the client toward a transition process as opposed to therapeutic treatments. It is hoped that these clarifications will dissipate all confusions about departmental expectations in our interactions with clients.

Clients coming to us for help are generally quite destitute; and often in need of basic objective advice or help in finding a solution, or in need of assistance to develop a plan of action in meeting their basic needs. Without being all things to all people, in the undertaking of these interventions, it is important that we adhere to the principles of promoting self-actualization of the clients, avoid over-involvement or excessive identification with the client; and where applicable, respect the client's desire to accept or not to accept thé services. Again, the following observations are consistent with what is practiced in other jurisdictions visited and well imbedded in their procedures and/or regulations. A good example may be found in the Manitoba system, which is quite compatable with ours. In the Job Analysis of the Income Security Counsellor the following sub-task is found:

> "Counsel clients, as necessary: - Develop rapport with client; assist client in recognizing the problem; encourage the client to set realistic goals; discuss means of achieving goals, and available resources; refer client appropriately; facilitate client goal achievement".(1)

(1) Income Security Counsellor Classification - Job Analysis Data, Page 14, - Manitoba

Within this general thrust, we need to reafirm the objectives and expectations stated in the document "Role and Responsibilities - I.M.O.'s". These objectives are still valid today but we have yet to reach that level of performance or degree of intervention on the front line. The most obvious constraints are, of course, the excessive workload and lack of expertise.

Recommendations

Recognizing that the need exists for some clients, and that there is a public and political expectation that those services will be provided, in order to improve their quality of life, it is recommended:

a) That it be recognized that front line staff, without being overly involved, are expected to acknowledge and respond to client's emotional state when in direct contact with them.

b) That the assessment approach to eligibility determination and maintenance forces on considering the client as an individual with potential to develop and to begin the process toward self-sufficiency and self-actualization.

c) That front line staff effectively carry out all the functions as detailed in paragraphs, G - Referrals, and H - Problem Solving/ Supportive Counselling, of Annex 1 of the Role and Responsibilities of I.M.O.'s.

d) That subsequent to need identification and/or client's request, we will provide advice in budget, debt and household management(1), and counsel/assist or advocate for any applicant or recipient in any matter relating to a benefit (2), and include the same in our Regulations.

E-5 - RESPONSE AND MONITORING

The variations encountered across the country for the above associated activities were characterized by whether or not a municipal system was present. As a rule, wherein a municipal system exists, the provincial system is less responsive and the monitoring activities are also impacted since the municipal system is handling the more active cases.

All in all, the service timeliness or responsiveness as targetted for registration and special items in the divisional PIP Matrix are within reason and should be respected.

On the monitoring side of the issue, the fact that a high percentage of time is spent in reacting to clients' initiated actions; that service demands at the front door are quite consistent, the activities associated with the ongoing monitoring or follow through are not given all the attention they deserve. During the last few years, home visits for the

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(1) Refer to Section 21.(1)(B)(IV) D. of the Ontario GWA Regulations

(2) Refer to Section 18(4)(C) of the Ontatio FBA Regulations

purpose of registration have been discontinued and drastically reduced for the purpose of annual reviews. In the course of my interprovincial consultation, only Québec had neglected that approach for the purpose of monitoring and service delivery to a level worse than New Brunswick while other provinces are still convinced that this activity must be retained with a high priority attached to it. However, Mr. André Laliberté stated:

> "Home visits have always been an efficient method of control, re-evaluation and presence in the community. Now that we are reintroducing it in the standards, it is with the firm intention of enforcing adherence in the future. This represents a change in philosophy by putting more emphasis on the client as opposed to the administrative procedures controlling the issuance".(1)

Needless to say that similar comments were received by all the field staff involved in the delivery. The following table developed from data extracted from the RMIS is giving us a picture of New Brunswick's situation in regards to annual reviews.

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(1) Mr. Laliberté is the Provincial Director for the Western Part of the Province of Québec - Interview

TABLE 1

INTERIM AND U. T. & P. CASES

1 to 6 mo. overdue	3,849
7 to 12 mo. overdue	2,384
1 to 2 yrs. overdue	2,505
2 to 3 yrs. overdue	1,055
3 yrs. or more	1,163

In all fairness, the data needs to be interpreted in the following manner. Annual reviews are very often done without updating the computer file. A high percentage of annual reviews were done by summer students with questionable values from an eligibility reassessment relationship development and service provision point of view. A high percentage of reviews are done in office or through the mail system.

I have found that this is an area where much discretion is required and normally utilized. Each client is rather unique. Home visits with the prime objective of verifying information and eligibility requirements are very useful and necessary. They serve as an aid in getting to know the client in his/ her own environment for purposes of service identification and ongoing maintenance of the positive relationship. As well, they facilitate follow-through in the process toward self-actualization and self-sufficiency.

Recommendations

In our continuous efforts toward a better management of our caseload,as opposed to simply maintaining it; and respecting the principle that our primary role is in the effective and efficient provision of financial assistance and related services, it is recommended:

a) That at the discretion of the front line worker and his/her supervisor that home visits as follow-up to initial assessment and eligibility determination be carried out for selected cases.

b) That annual reviews be done on 100% of the cases in the Interim and U. T. & P. Programs. For these clients, the review would include direct contact with the clients and home visits should be the standard as opposed to the exception. This function would include the elements and objectives stated above.

c) That follow-through by the case worker, to ensure that actions to be initiated by or on behalf of clients are executed, be a standard expectation.

d) That service timeliness for registration and delivery of special benefits as targeted in the divisional PIP Matrix is adhered to.

E,6 - DOCUMENTATION

The intent here is not to review all the requirements for file documentation. The current standard system requirements and the PIP Registration Team are providing the necessary guidance for most structured information capturing. As well, it is assumed that the case progress log will capture all relevant information for clients that are active in the process leading to self-sufficiency.

Our enhanced or expanded role, coupled with the more human approach to service delivery, will increase client contacts and the need for less-structured information on them. Except where we have attempted to retain some flavour of the social safety net, the practice of maintaining a "client recording" in the local file has been discontinued in most offices since the separation of services. This "client recording" is a journal of brief but pertinent information and serves also as a log of interventions that becomes very useful in our efforts to improve our knowledge of the clients and the monitoring of our activities. It is also an excellent tool in ensuring client protection and proper accountability of front line workers vis-ā-vis his/her clients in program and service standards.

Recognizing that this is an administrative requirement fashioned by the preceding service elements, "client recording"; maximizing the use of the case journal feature of the RMIS and respecting the standards detailed in Appendix "A" of this report, should become a necessary component of the client file. Again, it was observed that this is a requirement in other jurisdictions and found to be a serious fault of the New Brunswick system in instances when files are transfered to other workers and in cases where we have to answer enquiries.

Recommendations

With this obvious need for more less-structured information, it is recommended: That, "client recording", maximizing utilization of the case journal of the RMIS and respecting the standards detailed in Appendix "A" of this report become a necessary component of the client's file.

F - PROGRAMMING

Programming is not a component covered within the terms of reference of this project. Throughout the consultation process, however, I had the opportunity to discuss or discover various issues of interest related to programming that should be considered in the continuous evolution of our environment and our objective to improve services in a fiscally responsible manner. As a general statement though, I believe that in program and policy development, a better balance between the process and result expectations must be achieved by increasing the focus on the results. This should improve the standard application and the consistency of our interventions(1).

F,1 - SPECIAL ITEMS

The Special Item PIP Team has been quite successful in making recommendations that would improve and standardize the administrative process of the delivery. However, one point of contention exists that of the variation of interpretation and practices resulting in clients being treated inconsistently around the province or even within the same office. First, lets recognize that total equality will never foreseeably be realized as total objectivity is difficult to achieve; as is uniform understanding and application of the program objective and criteria, in adverse conditions. Discretion must be retained in the delivery of this program component.

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(1) Notion Supported by Mildred A. Schwartz - The Environment for Policy Making in Canada and the United States, Pages 11 and 12 - 1981

However, improvements can be made by working consistently at the base. In the course of my review I have encountered three types of philosophical attitudes vis-à-vis the special items. One extreme can be defined as follows: "The sky is the limit, if the client asks you give, budget is not a consideration." The other extreme is: "Budget is paramount, client's emergency needs are not considered; I have already given my quota for this week; item is issued but recovered at source from subsequent regular benefit payments". Fortunately, the above views are the exceptions and we need to revamp them through open discussion, exchange of information, analysis of data and follow-up by the managers.

Our philosophical approach in regard to delivery of special items should be well articulated, transmitted throughout the organization and to the clients, and discussed on a regular basis at all staff and manager meetings. The prime focus of the approach would ideally be defined as follows: "Client's needs are assessed in consideration of the absence or presence of options, while ensuring the well being of the client is protected. For the purpose of special assistance, a "person in need" is one who by reason of financial hardship has budgetary needs in excessof his/ her income. This activity must be undertaken within general guidelines and budget responsibility and accountability".

In passing, I might add that in spite of our very low social assistance rates, the percentage of dollars over total benefits spent on special items in New Brunswick compares favourably with most other provinces enjoying the advantages of more generous rates.

Recommendations

To improve the consistency of client treatment in the delivery of special items, it is recommended that:

a) The above stated philosophical approach be adopted.

b) Discussions on the approach be held on a regular basis at staff and manager meetings.

c) The practice to recover from the client a previous issuance for a previously assessed emergency need be discontinued.

d) In the development of future guidelines or policy statements, we should focus more on the results as opposed to the process.

F.2 - BLIND AND DISABLED

Most provinces have not retained a blind and disabled category since the legislative authority has been transfered to the provinces in the early 1970's. Those that have, like Alberta, render the program highly visible from a community and political point of view with more generous benefits than the regular social assistance caseload.

In New Brunswick we have retained the label of blind and disabled with the benefits at the same level as the regular Social Assistance Program. The only differences are in the area of liquid asset expemptions, the shelter complement not being deducted when the client is living in the parental home and the fact that clients could qualify at 18 years old.

Presently, this group of clients is only a sub-set of the LTEN Program, thus losing even more of their individual identity. Furthermore, the current method to access this program is cumbersome, much too long (approximately eight (8) months), very expensive (field, central, Board involvement), and to what end? This remains an area where we receive much criticism because of the unresponsiveness of the services and experienced frustrations on the part of the employees.

Given the current trend of hoping to use the CPP disability identification for direct access in the LTEN Program, and the review of criteria for the other cases, we should discontinue the practice of allowing new clients in the disability category and phase out that sub-set of the program.

Recommendation

Flowing from the above reasoning process, it is recommended that we apply the grandfather clause to those cases now registered in the blind and disabled category and discontinue the practice of allowing new clients in this category.

F,3 - NURSING HOME

The current practice and agreement with the Department of Health and Community Services whereby we determine initial eligibility is beginning to show some inconsistencies. First, it is not clear what legislative

authority we are operating under; the rules and the characteristics of the clientele are changing consistently; and the incentive for us to do a good job is lacking owing to the absence of ownership and the fact that no follow-up is done.

In a previous audit, the Office of the Comptroller recommended that this program become more or less an insured program beyond the OAS/GIS level. Such a practice is used in Alberta and if applied in New Brunswick, would cost an additional 9.5 million(1) dollars to provide the services. Department of Health and Community Services is supportive of such a move and agree that it would render the administration much more convenient and equitable from a client's point of view.

Meanwhile, if the current system is retained, it is reasonable that Income Assistance staff who possess the expertise to determine eligibility and the degree of client participation in financial programs, should take an increasing role in the administration and maintenance of that program, in order to maximize, to the benefit of the province, the income side of the equation.

Recommendations

In the following order of priority, it is recommended:

a) That the Departments of Health and Community Services, and Income Assistance jointly make a proposal to the government and recommend the Alberta approach as an expanded service, or

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(1) Memo, Dated February 16, 1987, From Ronald Crawford, Director - Nursing Home Services, Department of Health and Community Services

b) that the Social Welfare Regulation be changed to reflect our responsibility with guidelines to be developed and agreed upon with the Department of Health and Community Services.

c) That our responsibility be extended to include follow-up to initial eligibility testing and ongoing monitoring with the cooperation of the Nursing Home administration.

d) That a proposal, to secure the appropriate resources to accomplish the above, be developed and jointly presented by Health and Community Services, and Income Assistance.

F,4 - UPGRADING, TRAINING AND PLACEMENT

Because of the new caseload mix, characterized by the high representation of clients, and realizing that the old system has not been very effective in breaking the cycles of dependence and poverty, searches to improve the system are undertaken. We are quite confident that the general and specific agreements negotiated at the national level with the provinces and more specifically our design for Upgrading, Training and Placement Program, with its four participants, is a major step in the right direction.

In a study conducted in Chicago analyzing the behaviour and movement of recipients, it was concluded that:

> "General Assistance Programs should give greater recognition to the diversity of the caseload and devise various strategies for appropriate allocation of resources so that those recipients most likely to benefit will be helped"(1)

It is with this principle in mind that we have adopted the current program structure and special strategies or measures for the U. T. & P. Program. In this section, I will share only some of the key conclusions of a major study conducted in the United States by the Urban Institute. This study examines the factors that influence the effectiveness of Work Incentive Programs that I believe should be considered within the programming and delivery of our U. T. & P. Program.

> "Improve goal awareness and application. Emphasize counselling and working more intensively with reluctant clients rather than ignoring them. Place more emphasis on imparting job-seeking skills and job-search activities by clients themselves".(2)

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(1) Public Welfare - Spring, 1986, Page 32, Article - Reexamining the Role of General Assistance.

(2) Implementing Welfare Employment Program: October 1979, Pages 211, 212 - An Institutional Analysis of the Work Incentive (WIN) Program by John J. Mitchell, Mark Lincoln Chadwin, Demetra Smith Nightingale.

"Emphasize client oriented job development. Experiment with expanded insitutional training. Develop a richer mix of support services. Improve the critical linkages to Income Maintenance Units".(1)

The last point is well emphasized in the upcoming Field Delivery Section of this report. One area where we could and should exercise improvement is included in the very first statement. Presently, the emphasis communicated seems to be on improving the self-sufficiency of the client as opposed to exiting the system. I believe the latter goal should receive priority enunciation while actively working toward the former. This would dissipate any misinterpretation and improve accountability and most likely result in moving more clients off the system on a permanent basis.

Recommendations

a) It is recommended that the goal awareness of the U. T. & P. Program be improved and adjusted to ensure that exiting the system is the prime objective.

b) And that the design should consider the fact that 50% of the new jobs created in the last year are part time jobs.

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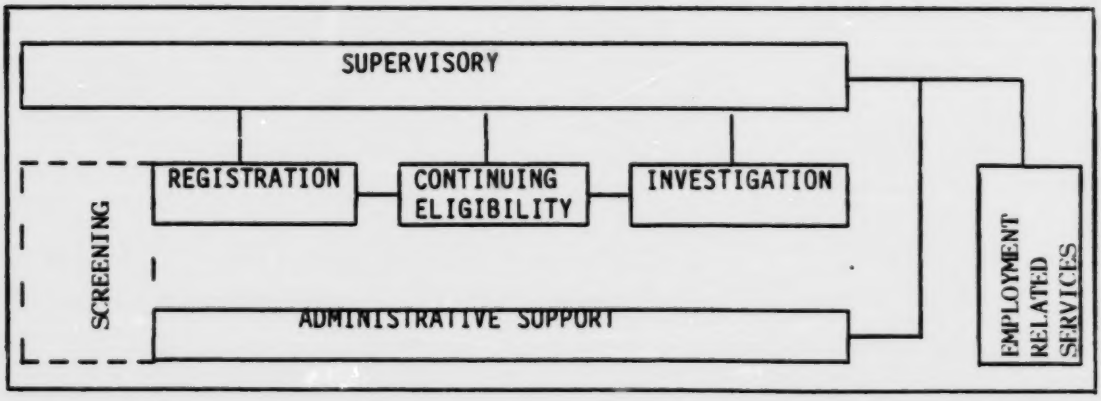
(1) Implementing Welfare Employment Program: October 1979, Pages 211, 212 - An Institutional Analysis of the Work Incentive (WIN) Program by John J. Mitchell, Mark Lincoln Chadwin, Demetra Smith Nightingale

6 - FIELD DELIVERY AND STRUCTURE

Since the separation of services, we have experimented with various types of delivery approaches but in most instances this is characterized by the following practices. We have the tendency as indicated in Figure 2 to organize and assign the work by speciality or depending on where it fits in the process. Most of the experimentation was done at the supervisory level by changing the reportingship of the blocks themselves as opposed to modifying or changing the boundaries between the blocks.

This chain production style of packaging is very efficient for an administrative process type of delivery approach as it hinders needs assessment and discourages client/department relationship because, as a rule, the client is assigned to an unknown worker or to a very large caseload. This in turn, promotes mistrust owing to the fact that the investigative function takes on disproportionate dimensions in the delivery process.

FIGURE 2



Furthermore, such a delivery approach is not condusive to staff satisfaction because of their limited sphere of activities. A number of studies in the field of organizational development have shown that worker performance is improved when their jobs involve a variety of tasks and skill levels. Improved performance has also been attritubed to workers' increased feelings of worth. Another fault of the current model is that it is not always sound from an accountability point of view. This may account for the level of frustration emerging primarily from the investigative staff through the PIP process. Finally even if all resources are heavily utilized, the responsibility placed on the shoulders of the continuing eligibility employees is tremendous. As compared to the other groups of workers, they impact and interface on a very large number of lives on a continuous basis. Consequently, the work assignment will have to take these factors into consideration as well as the expanded or enhanced mission recommended previously.

G,1 - FIELD DELIVERY (SERVICES)

Moving from an administrative process system to one that would foster positive relationships with clients; allowing for more human contact and new interventions, will not be an easy task given the current constraints and limitations. However, the move to humanize the system is necessary because inherent to the administrative process approach; the client encounters impersonal factors on first contact and overtime develops a sense of security similar to that of belonging to a religious order with a certain fear of the outside.

In my recommendations, I will be sensitive to the constraints primarily in the area of human resources and technological support. I will attempt to retain the efficient elements of the current system. Also, a degree of flexibility will have to be allowed to accommodate local strength, weaknesses and requirements.

A high level review of the activities we are now performing in the provision of Income Assistance and/or delivery of services suggests that we need all the following elements in the system:

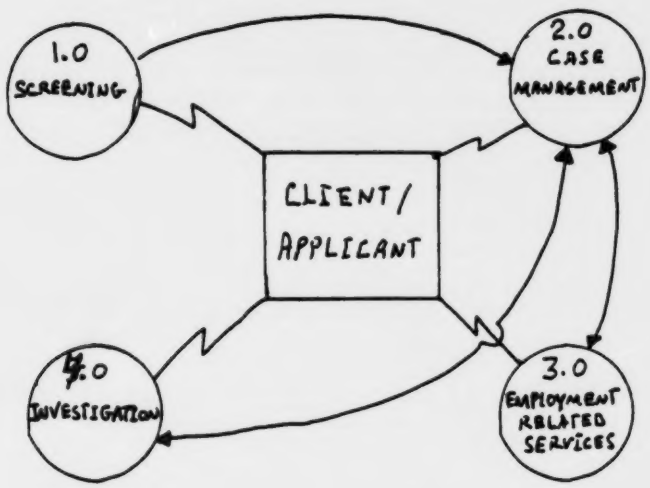
INCOME ASSISTANCE, INHERENT BENEFITS AND SERVICES	EMPLOYMENT RELATED SERVICES
Screening	
Assessment	
Data Collection	
Information Provision (incl. basic & special needs)	
Referrals	Information Provision
Registration	In-depth Assessment
Service Provision	Referrals
Follow Through	Employment Services
Monitoring	Service Provision
Maintenance	Follow Through
Control	
In-depth Investigation	
Prosecution	
Legal Proceedings	

← Community Develpment →

Already a model is unfolding from the above because some activities naturally belong together or rather, they form a natural entity. Using my personal variation of the the structured analysis method, lets define the groups.

FIGURE 3

HIGH LEVEL GROUPING



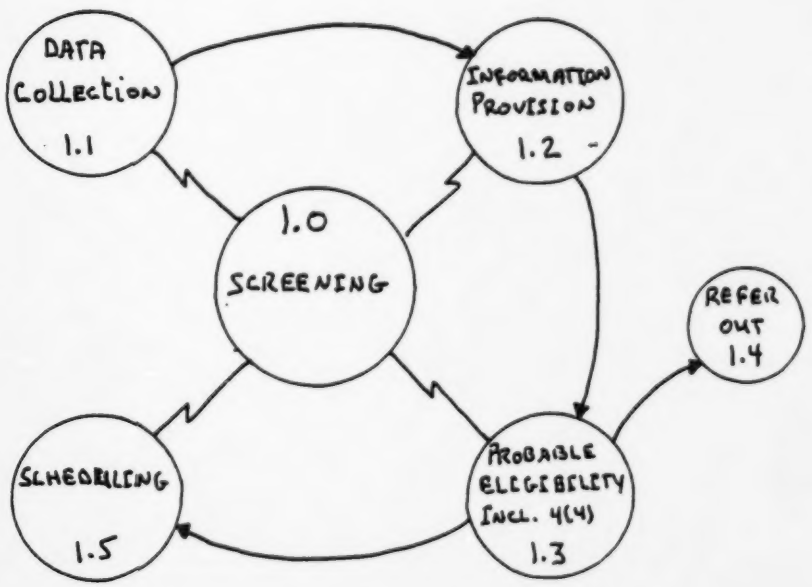
For each group we shall now define the next level of activities.

The model does promote a rather intermediary level screening function. The reason for this is that a more comprehensive screening function would likely duplicate what naturally belongs to the case management function. Furthermore, it does reflect the current reality that we live under. More specifically, that is to say, that the majority of clients are in need of Income Assistance only, and our current ability to respond on a large scale

to other services is limited. In final analysis, it is organizing and structuring for the majority coming into the system as opposed to the exception. Consequently, the prime objectives of the screening function should be to ensure efficient access to services, including possible 4(4) applicants, and minimize non-productive time at the case management function level. Figure 4 specifies the medium level of activities for screening.

FIGURE 4

MEDIUM LEVEL ACTIVITIES - SCREENING

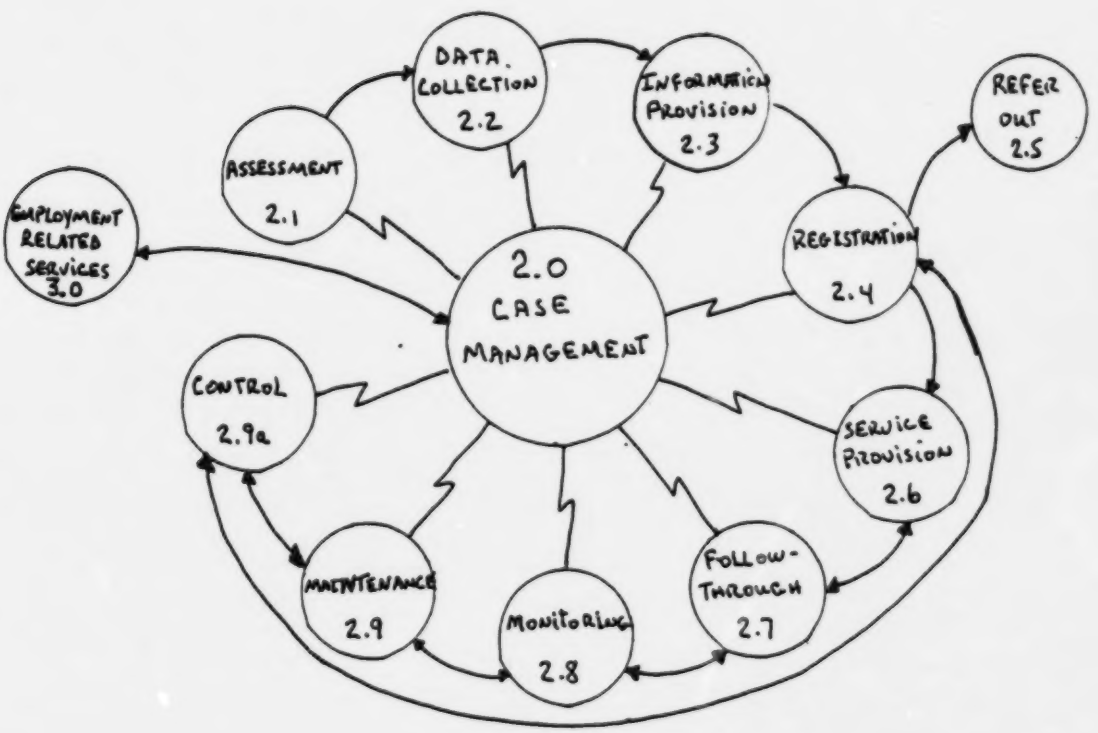


This brings us to the case management function by far the most important one in the system. The major changes suggested here are supported by the acceptance that we need to humanize the system, develop client/worker

trust and helping relationships, enhance the services and promote employee satisfaction. In more concrete terms, this proposal deals with changing the boundaries of what currently exists between registration, continuing eligibility and investigation. It is also broadening the staffing base for case management, a necessary move that I am afraid, because of current constraints, cannot be addressed exclusively by increasing the staffing complement. This should also improve client/worker accessability, an issue that now receives much criticism. Figure 5 specifies the medium level of activities for the case management function.

FIGURE 5

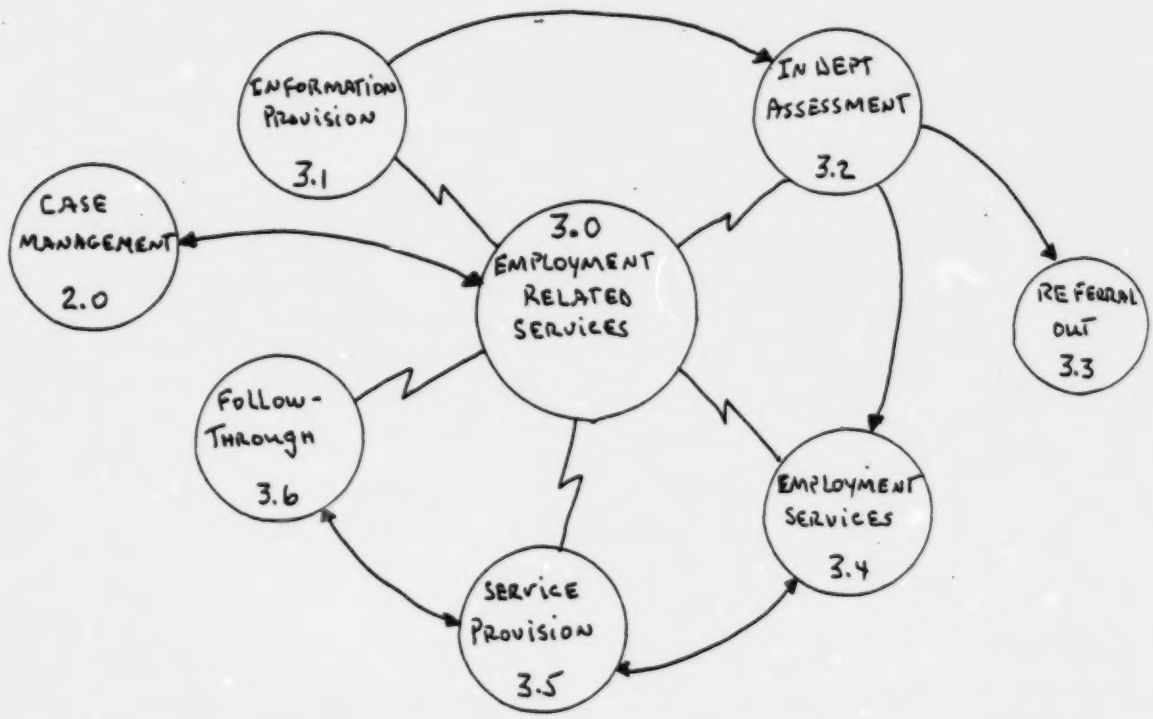
MEDIUM LEVEL ACTIVITIES - CASE MANAGEMENT



The next natural grouping is the newly introduced Employment Related Services. Since this service component is still at a stage of development; this is not an attempt to define the medium level activities. Suffice to say that the design is very sound and it compared favourably with the other provincial jurisdictions. It is hoped that resulting from this development we will succeed to assign increasing resources to this important service or program sector.

FIGURE 6

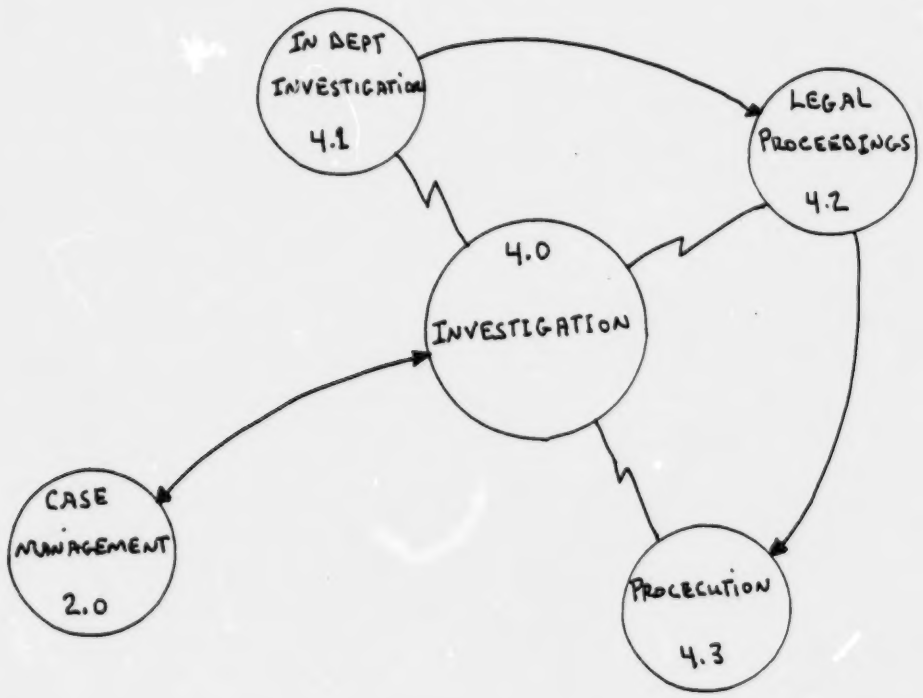
MEDIUM LEVEL ACTIVITIES - EMPLOYMENT RELATED SERVICES



Finally the investigative function is necessary to support the case management role, to ensure program integrity and to preserve the interest of the society. However, the model suggested here will regroup only the activities requiring evident investigative techniques or specialized knowledge. More specifically, the activities are reflected in Figure 7.

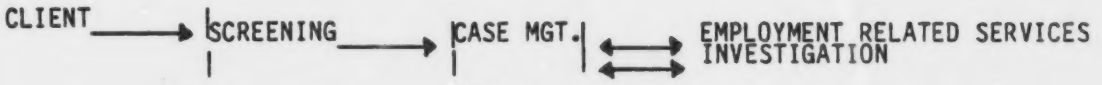
FIGURE 7

MEDIUM LEVEL ACTIVITIES - INVESTIGATION



RATIONALE AND EXPLANATIONS

The suggested model presented in Figures 3 to 7 can be consolidated in the following manner:



It has already been stated that given the current situation and constraints, it seems best at this stage to adopt a low level screening function with efficiency as the main objective for that particular segment of the process.

The most fundamental changes are suggested in the case management and investigative functions. One of the immediate problems faced here is that of a large number of continuing eligibility workers who have much too large a caseload. Consequently, they cannot apply the new skills acquired in the certificate program, which is necessary for them to meet the requirements of the enhanced service mandate. The amalgamation of the registration function with the case management function is an objective we should attempt to achieve in most instances. On an exception basis, the system should also be flexible enough to allow retention of registration as a separate function, in large centres if it can be justified. This would be to accommodate mostly emergencies, transients, walkins, etc. This would result in broadening the staff base with the effect of better distributing the global

case management responsibility. Furthermore, this way of packaging the work is necessary to facilitate the establishment and maintenance of the trust and helping relationship that we are trying to formalize in our interventions with the client.

The expansion of the case management function to include some activities now carried out by investigators is also desirable; to improve accountability in our service delivery; to help promote the helping and caring attitude and on a broader activity base; to extend the trust relationship, finally, to allow the case manager to have a more global view of the situation. It is hoped here that the case manager will be put into an environment where he/she will be able to manage their efforts as opposed to exclusively reacting to client requests and/or changes of circumstances.

Mobility of the case manager will be a necessary requirement especially in carrying out the activities associated with monitoring and control. However, the model should allow for local management discretion to accommodate for local constraints and/or preference. The important point here is to include these activities under the sphere of the case manager and ensuring that compatable service intervention be the rule. I might add, that this type of delivery approach should call for much closer supervisor/staff relationship and monitoring.

The new investigative function will only be used under narrowly defined criteria. For instance, referrals should only be made when legal action for fraud is desirable, when court appearance is required, i.e. - support or when specialized investigative techniques or approaches are required. Specialized investigative technique or approach could be defined as; when conventional methods of control have failed to finally dispose of the case. This approach to investigation is used in all the jurisdictions that I have reviewed and has proven very effective from the point of view of staff satisfaction and global service provisions. In other words, the investigative way to approach an issue is used only when necessary, and it is done objectively, dealing only with facts while respecting the values of the client. It is anticipated that this model will drastically decrease the number of investigators in the system. Based on the experience of the other provinces, who have either regionalized that service, it is anticipated that our complement should be approximately 15 staff for that function. The next phase of the study should specify that complement.

Nevertheless, because of its relatively small number, we should consider setting-up that function in a minimum number of sites in the province that could, based on the same referral criteria, respond to central requirements for LTEN cases. To minimize travel and to provide for some social stability for the investigators, the service should be regionalized and the offices or regions that cannot support a full-time investigator because of their low caseload, should be paired with the next region.

Regarding the Employment Related Services and associated functions, the trend in the province and across the country is that services are delivered through a separate unit or by individuals specializing in that field. A study of WIN Programs in the U.S. done by the Urban Institute, concludes that this kind of setting is not counter productive. On the contrary, having the same individuals involved in activities with possible conflictive objectives may become counter productive. On the other hand, a close relationship and consultations with the Income Assistance case manager is an indicator of improved performance. The study mentioned above concluded that:

> "Closer interactions between social assistance units and WIN coordinators (and their staff) seems a distinctive characteristic of high performing programs"(1)

This explains why the arrows in Figures 3, 5 and 6 are pointing in both directions between the case management functions and Employment Related Services. It is also believed that this relationship will elevate the culture inherent to the delivery of Income Assistance to the compatable level required for the delivery of Employment Related Services. Consequently, it is forseen that the we/they attitude will no longer be prevailing.

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(1) Implementing Welfare Employment Program; October 1979, Page 227 - An Institutional Analysis of the Work Incentive (WIN) Program by John J. Mitchell, Mark Lincoln Chadwin, Demetra Smith Nightingale.

In the development of the model for field delivery, I have attempted to respect the following principles:

- efficiency and responsiveness
- simplicity for the client
- clients and services oriented
- closer to the client when needed
- discourage we/they attitudes between staff
- promote for a more global view of the client situation
- separate functions when the objectives are not compatible
- consistency in delivery

Recommendation

Given our enhanced mandate, it is recommended that the general model for field delivery elaborated in the G,1 section be adopted and implemented.

G,2 - FIELD DELIVERY (ON-CALL SERVICES)

It is quite obvious that After Hours Services for the Income Assistance Programs in New Brunswick have taken an undesirable dimension, and that the current system was heavily influenced by the Community Social Services protection mandate and their perception that other social services have to be available at all times.

Of the provinces visited, where they have adopted a separated model for delivery, none are linked to an elaborate system like New Brunswick. It is clear that services are provided between 8:15 a.m. and 5:00 p.m. only. Some provinces have nothing at all in place after normal hours, and others at best have informal local systems whereby the local police and/or other agencies have some understanding with the local offices about how to deal with specific emergency issues. The flexibility added is that some valid expenditures assumed or paid by the client without prior approval will be approved for payment or reimbursed. Other than that, clients are expected to find alternatives within their own support system fostering the concept of self-actualization.

Recommendation

Within the intent of the general thrust stated above, it is recommended that each local office develop and implement an informal After Hours Service with no or minimum departmental staffing implication while using their respective community service systems.

G,3 - FIELD DELIVERY (APPEALS)

From the complaint survey conducted with staff and client representatives, the slow responsiveness of the global appeal process was the second most popular complaint.

Presently, the procedure allows for 15 days for the Area Reviewer to render his/her decision. The Appeals Board is allowed 30 days to hear the appeal and another 15 days to communicate the decision. In total, the delay could extend beyond two (2) months, which is excessive.

It is anticipated that the new service delivery approach will have a reducing impact on the number of appeals. This would be the result of the established relationship and a better informed client. Futhermore, with the new field structure involving more than double the number of Area Reviewers we had initially, we are now in a position to respond more quickly, while maintaining the importance of impartiality in the process. Also the introduction of office technology at the Appeal Board Office, should help in improving responsiveness at the Board level.

Recommendation

Given the new environment (structural and technical) and our objective to improve client services, it is recommended that the regulations and policy be changed to shorten the periods to five (5) days for the Reviewer to communicate his/her decision, and to a total of 25 days for the Board to hear the case and communicate its decisions.

G,4 - FIELD DELIVERY (STRUCTURE)

In this section I will not try to review or comment on how we have divided the province into 13 regions and 21 offices. Rather, based on the research done I will propose a different formula for administrative reportingship.

Much criticism is directed to welfare agencies throughout the world due to the fact that welfare policies and delivery values are generally not well understood or accepted by the community. The government is partly to blame for this because we have instilled a mind set and belief that the total responsibility for the poor lies on the shoulders of the government.

Human nature being what it is tends to react differently when receiving services from a highly identifiable government body. Bent Rold Andersen in analyzing organization of social security wrote:

> "There is a distinct psychological difference between receiving economic, practical, and emotional support from a spouse, a relative, a friend, or a neighbour, and receiving assistance from an anonymous public institution. In the first instance, the

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(1) Rationality and Irrationality of the Nordic Welfare State - Daedalus, Journal of the American Academy of Arts and Sciences, Nordic Enigna, Winter 1984, Volume 113, Page 125

> possibility of abusing the assistance given or to ask for more than the other person can in fact give, is narrowly contained. Not so in the second instance"(1)

This clearly supports the notion that benefits can be gained by promoting a structure whereby the government continues to play its role in the background, in the least visible way, as opposed to taking a storefront position.

Less government visibility implies more community visibility. More community visibility and involvement were recognized as a necessary requirement by many researchers promoting more effective welfare systems. In a study conducted in New Brunswick for the Department of Health and Welfare, Hubert A. Prëfontaine states:

> "Promoting community participation must, in our own mind, become a program priority in which all division staff become involved(2).

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(1) Rationality and Irrationality of the Nordic Welfare State - Daedalus, Journal of the American Academy of Arts and Sciences, Nordic Enigna, Winter 1984, Volume 113, Page 125

(2) Welfare Services in New Brunswick, M.D.T. Associates 1969, Page 38 and 296

> The general community must be made more aware of problems and needs, and should be encouraged to assist and to welcome alienated individuals within the community"(1)

We are only beginning now to realize some components of that objective with the development of the Community Voluntary Action. However, we need now to broaden their mandate to include some elements of the decision making process, otherwise their interest will quickly dissipate.

It is a known fact that the evolution of society in the last few years is supportive of requiring more from the clients for the help they are receiving. It is imperative that in this change of attitude community values and priorities are respected. Jean Bernard Robichaud stated:

> "As we expand our sphere of activities, (in our case becoming a social safety net and becoming active in employment services), it is important to have autonomous strategies respecting community values and priorities"(2).

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(1) Welfare Services in New Brunswick, M.D.T. Associates 1969, Page 38 and 296

(2) Result of Interview - J.B. Robichaud is a Senior Policy Advisor for C.C.S.D.

As early as 1963, the Byrne Commission recognized heavy community involvement and participation in the delivery of Income Assistance Programs. The objective then was to centralize the policy development authority in order to standardize the benefits and the legislative authority. But even then they recommended:

> "Local bodies to act in an advisory capacity to ensure local circumstances would be taken into account"(1)

In the same report extended community involvement was also advocated for in the recommendation to set-up a Social Welfare Commission with total control and responsibility of the delivery of the programs at a time when expenditures were less than 10M per year.

In final analysis, when one assesses the scope of responsibilities by the local school boards in the Educational System, one may conclude, very quickly, that this area of discretion is very narrow compared to the scope our service sector could allow. Yet those Boards are set-up to ensure that local circumstances are taken into account and respected. It is important that we structure ourselves for the future by putting the proper elements and environment in place. Finally in a recent analysis of the approaches used in reshaping welfare state, it was concluded that:

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(1) Report of the Royal Commission on Finance and Municipal Taxation in New Brunswick, 1963, Page 147

> "Despite the differences in the approaches, some common trends seem to emerge: more participation, local control, flexibility, mutual aid, and volunteersim"(1)

It is obvious that this type of fundamental change is required if we want to succeed in our efforts to change the behaviour pattern and reduce dependency. In a recent move, the democrates and republicans seem to have agreed on the need for reform with a new twist. That is: "It is time both to learn from, and to repair, the mistakes of our centralized system with a new national grassroots participation, state and local initiative, and ideas for reducing dependence".(2)

What is in fact being advocated for here, is a movement from a system that serves itself to one that serves the clients with a broader client/ community base of commitment as illustrated below:

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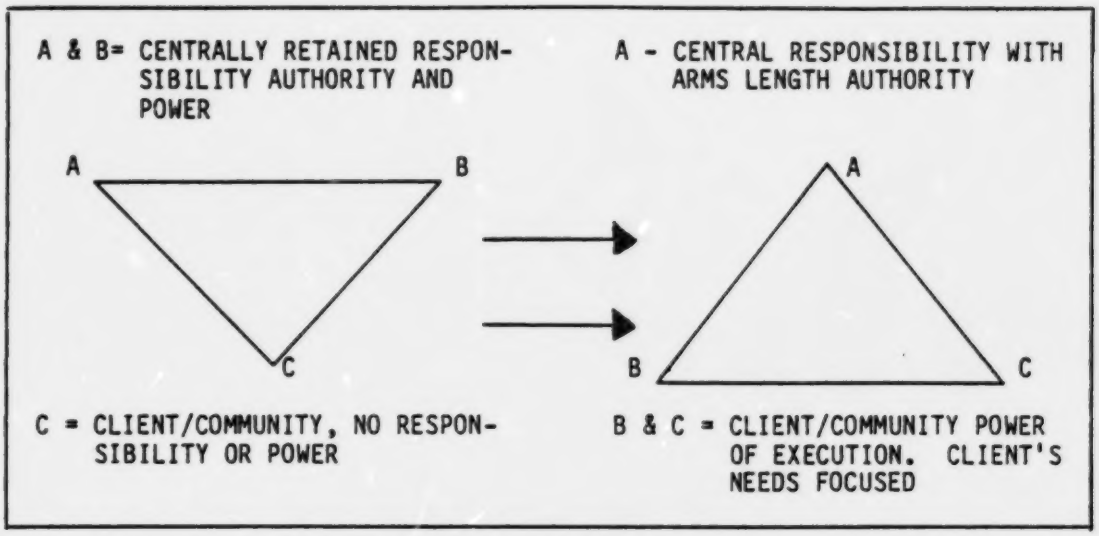
(1) Social Policy - Fall 1986, New Welfare State Models and Mixes - S.M. Miller

(2) U.S. Unites Behind Reagan: The Welfare System Needs Reform. Globe and Mail. February 12, 1987, Page A-11

FIGURE 7


A & B= CENTRALLY RETAINED RESPONSIBILITY AUTHORITY AND POWER
A - CENTRAL RESPONSIBILITY WITH ARMS LENGTH AUTHORITY
A
B
C
A
B
C
C = CLIENT/COMMUNITY, NO RESPONSIBILITY OR POWER
B & C = CLIENT/COMMUNITY POWER OF EXECUTION. CLIENT'S NEEDS FOCUSED

Based on the Yugoslavian experience, another positive effect of such a move would be the appearance of new informal and volunteer resources in the provision of services(1). But more importantly this would also restore a clear psychological connection between rights and duties.

Recommendations

In respect to the general thrust stated above, as our enhanced mission or mandate must allow for consideration of local priorities in a more flexible and responsive administrative environment and additionally respecting our efforts to be architects of social changes as opposed to meer providers, it is recommended:

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(1) **Local Welfare Mix - Ivan Svetlik, Yugoslavia**

a) That local bodies acting as advisory units to each delivery centre be established encouraging the volunteer sector (but not exclusively) to participate. In this initial phase, power of execution for Community Voluntary Action and Employment Related Services would be fully delegated.

This should be a planned interim measure and following community understanding and acceptance of the role, (maximum two (2) years), proceed with the next phase.

b) That local Boards, with total power of execution on administration and delivery of Income Assistance and related Programs, be established in the 21 localities where we have a service delivery centre.

NOTE: The central government would of course retain legislative authority on standard rates for benefits and on broad policy issues. In other words, retain its general responsibility buc delegate the power of execution.

H - GENERAL

Considering our history, its evolution, our current position and the enhanced mission from an Income Assistance and Employment Related Services point of view, it is fair to assume that a resource gap will be identified in the next phase of the study.

However, even if the new model for delivery will undoubtedly result in better utilizing the global divisional resources in pursuit of our objectives, it is unrealistic to think that the current complement (number and qualification) would be capable of absorbing all the impact resulting from the recommendations.

It is with this anticipated result in mind, that this section was developed to provide added support for the conclusions of the next phase following the plan of action.

H,1 - AUTOMATION

Even if we were, during the last few years, operating mostly within an administrative process, it is primarily because of staff dedication and automation that we have maintained relative stability. Compared to the rest of the country, we do have a very respectable computerized system support environment. Because of this starting position, future developments and enhancements will not have large scale impact on the total resource

requirements for the delivery of the services. It has been our experience in the past, that clients and administrative support staff have benefited most from system enhancements. This explains the reason why, over the years, many administrative support positions have been reclassified to the front line worker level.

The general direction taken by systems development, to increase the direct interface with the client and the service provider is a logical one that will allow us to continue improving the quality and timeliness of the service in the future, while using our resources more efficiently.

However, our changing need requirements, coupled by the many system directed recommendations emerging from the PIP process, necessitates urgency in giving some priority to that service sector for a finite period of time. This will include more adequate training of the users.

Recommendation

It is recommended that the general direction stated above in systems enhancement and development be maintained and that some priority be given to that service sector for a finate period of time.

H,2 - STAFFING COMPARISON

Comparing staff/client ratio with the other provinces was not easy as a result of inferring incompatable factors. Nevertheless, the following table

is an attempt to make this comparison as objectively as possible, with the provision of much additional information.

TABLE 2

	# OF STAFF ASSIGNED CASE MGT. FUNCTIONS	# OF CASES	RATIO	REF.
Manitoba	160	23,000	144/wkr	(1)
Saskatchewan	220	30,000	136/wkr	(2)
Ontario	586	154,000	263/wkr	(3)
Quebec*	1,021	304,000	297/wkr	(4)
New Brunswick	105	37,000	352/wkr	(5)

(*Excludes City of Montreal)

Before explaining the individual characteristics it would help to know that the data reflected above excludes, for all jurisdictions, staff assigned to investigation and Employment Related Services functions. Furthermore, the academic requirements of the other provinces for the staff assigned these functions are either some post secondary education or full university education.

(1),a) Situation preferred to New Brunswick insofar as a municipal system is present in the province which responds to short-term and employable client requests for services. Otherwise, the ratio would be even lower.

b) The other side of the coin is that computerized system support environments are not yet as advanced as ours and some case managers are assuming a degree of responsibilities that could be transferred to the administrative support group.

(2),a) In Saskatchewan, it was observed, as well, that a degree of responsibilities could be assigned to the administrative support group with thepossibility of improving (increasing) their ratio.

b) The counter forces that will make the improvement of the ratio difficult is their extreme program complexity and their desire to retain their comprehensive approach to service delivery.

(3),a) The Ontario ratio could be improved significantly if the data would take into account the municipal system. Because at the municipal level it is estimated that the ratio is less than a hundred cases per worker.

b) Furthermore, officials from the provincial system are expressing clear concerns about the present staffing situation with concrete plans to improve it by some 40 percent.

(4),a) It is clear in Quebec that their immediate priority is to purge the system as opposed to improving the interventions related to the social safety net mandate.

b) The data, however, does not reflect staff associated with screening functions (accueil) because in their model the entry door is through the "manpower" side of the organization. Otherwise, the ratio would be improved.

c) Officials of the department are also concerned by their current staffing positions and their inability to do the job adequately. Consideration is now given to the reallocation of employees from the manpower sector to the social aid sector. Employees from both sectors have similar classifications with compatable background and training.

d) Like New Brunswick, their apparent stability was rendered possible because of the automated system support environment they have access to.

(5),a) Besides specifying that the data for New Brunswick includes cases and employees assigned to the Long Term Established Needs Program (LTEN), I believe the conclusions are quite obvious.

In our efforts to redress the situation, as well as making our case with Board of Management, we should look at all options presented to us. The model for field delivery recommended in this document suggests that we may have some flexibility within our investigative complement. There is an element of truth here but we should be aware that we have approximately 23 employees, coming mostly from that pool, who are now assigned responsibilities associated with Employment Related Services and Community

Voluntary Action. In Saskatchewan, when new employment services and initiatives were introduced in 1984, within a broader welfare reform plan, 20 new positions were established to help deliver the program. In New Brunswick, we have accepted this new challenge but we should be aware that some key functions associated with our more traditional role are not even receiving the priority they once had within our inadequate system.

Another possible source for additional human resources may be to consider reallocation from central to the field system. Adjusting for employees assigned to direct service delivery like Health Services, LTEN, Student Aid, etc., approximately 20% of the total departmental complement is assigned centrally. The Commission of Inquiry on Unemployment Insurance was quite critical of the U.I. system because 10% of the human resources are affected at the national headquarters and many more at the regional level away from the direct service(1). Comparison may be difficult as a minimum fixed number is required to provide the necessary support functions.

Finally, we should not overlook the possibility of transfering resources from the Department of Health and Community Services to support the responsibilities attached to the outstanding separation issues. Also with our enhanced mandate, the home economist profession and related staff would fit more naturally within our system.

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(1) The Commission of Inquiry on Unemployment Insurance Report - 1986, Page 281

Recommendation

Subsequent to the second phase of this project, the department should develop a staffing strategy taking into consideration the above while maintaining our efforts to professionalize the case manager's functions and upgrade the classification.

NOTE: Realizing that many factors may affect caseload increases (economic, population movement, etc.) the above provincial comparison may suggest that a certain correlation exists with staffing level and caseload growth. An attempt was made to test that notion among the offices in the province. The results were not conclusive because the variables are never static but there is some evidence that the better staffed offices are experiencing reduced growth in caseload. Such relationship was found when analyzing staffing intensity of U.S. WIN programs. More specifically, it was found that:

> Metro operations with relatively high staff/ registrant ratio are likely to have a greater proportion of their registrants enter employment than other sites with a low staffing intensity."(1)

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(1) Implementing Welfare Employment Program: October, 1979, Page 137 - An Institutional Analysis of the Work Incentive (WIN) Program by John J. Mitchell, Mark Lincoln Chadwin, Demetra Smith Nightingale.

H,3 - ADMINISTRATIVE COST COMPARISON

As previously stated, an attempt is made to compare New Brunswick's performance against as many variables as possible in support of our future negociations and conclusions.

Again comparison of this magnitude is not easy because of the various limitations encountered. Nevertheless, "Appendix C" attached is a good objective comparison in which important conclusions are made evident. With the help of "Table 3" following, let us reproduce the summary of that comparison.

TABLE 3

PROVINCE	ADMINISTRATIVE COST/CASE / TOTAL COST/CASE	%
Ontario	28.28 / 507.53	5.6%
Quebec	39.51 / 523.44	4.9%
British Columbia	23.33 / 480.60	4.9%
Saskatchewan	37.13 / 562.03	6.6%
Manitoba	33.93 / 441.73	7.7%
New Brunswick	17.00 / 450.31	3.8%

Before making any conclusions, I must point out that the data for Ontario and Manitoba includes the municipal systems.

It is quite conclusive that our ratio of administrative cost is very favourable compared to the other provinces or may be totally inadequate depending on how we look at it. The gap is even more evident when you adjust New Brunswick's benefits to the average benefit of the provinces compared. Then the result for New Brunswick would be a ratio of administrative cost of only 2.9%. Considering that one (1) percentage point would mean almost 2 million dollars or 25% of the current administrative budget, the situation that we find ourselves in must be carefully addressed with upmost urgency in order to maintain integrety of the system.

I - PLAN OF ACTION

It is quite evident that the task to implement all the preceding recommendations is tremendous and the importance of the constraints are not to be minimized. We need to address the exercise strategically by developing a good plan of action and involving all the parties concerned during the process. It is also unrealistic to hope to achieve all of the desired results on a short-term basis.

An attempt will be made to isolate a number of the recommendations that should form the basis for the next stage of the project. For the others, it is hoped that the department and its managers will give them serious consideration within the planning and management process and throughout the course of normal evolution.

Assuming that the enhanced mandate as elaborated in Section E,1 of this report is recognized and accepted, the plan should contain the following elements:

1) Accept that recommendations emerging from Sections E,2 - Improving our Knowledge of Client Circumstances and our Relationship with them, E,3 - Provision of Information, E,4 - Interventions, E,5 - Response and Monitoring, E,6 - Documentation, F,1 - Special Items and G,1 - Field Delivery (Services), form the base of our short-term plan.

2) Set-up project team, lead by Organizational Effectiveness Project Manager, with the responsibility to:

   a) (Where needed) further define expectations and requirements associated with all recommendations listed in 1 above, using information obtained from other provinces or information that is already available. This is necessary to operationalize the approved recommendations.

   b) Assist in the development and delivery of an orientation package which is a consolidation of 2 a) above.

   c) Assist in selecting test sites and coordinate testing.

3) (Project Manager) seek approval of orientation package, negociate with consultants and select firm to assist in the process of scientifically testing our ability and limitations to deliver the product as per above agreed standards. The objective here is to ensure we adopt an acceptable method of testing with supportive technology.

4) (Project Manager in cooperation with the consultants) to consolidate result data and prepare final report.

The project team mentioned above should have a representative of the Registration PIP Team because of the commonalities of issues, one or two other representatives from the field system, one representative from Board

of Management and ultimately one representative from the consulting firm. With the proper priority given to the last phase of the project, it is reasonable to develop and deliver the necessary orientation and documentation by the end of April. The months of May and June would be used for testing with the final report to follow.

With feet on ground, these observations and recommendations are made.

APPENDIX "A"

CLIENT RECORDING STANDARD

Recording is to ensure a continuity of client/department contacts that transcend the client's contact with any individual worker. It will be used to organize the worker's thoughts about a case, facilitate the plan of future courses of action and provide the necessary back-up for administrative review. It also acts as a necessary link between all of the service providers involved with a specific client.

Recording should only contain objective information and exclude worker's personal values, attitudes and, above all, interpretations. It should be written in such terms that the worker would be willing to have the client read it if the occasion arose.

More specifically, recording should:

- Be written in a clean and concise manner.
- Include the date of writing and the name of the writer.
- Be factual and not judgemental.
- Specify the reasons for the decision taken.
- Refer to other file information instead of duplicating it, i.e. - refer to investigative report instead of repeating it.
- Include all pertinent day to day information that affects the outcome of a client's case.
- Explain B.F. decisions and not replace the system.

Relating to daily activities in the office, recording should be done in the following situations:

- When a case is open to explain the reason and circumstances for the request and the decision taken.
- When a case is closed to explain the reason why it was cancelled.
- To back up changes on the C.P., when there is either a familial or financial change to the unit.
- When there is a verification made to a third party, i.e. - C.P.P., U.I.C., etc, for future use.
- When a decision is given over the telephone for future referenc.e
- When the client is referred to a service provider to specify the reason for the referral.
- When a case plan is prepared with a client.
- When client special requests are either approved or refused to serve as back-up for the regional reviewer.

It is recommended that the recording be kept in the RMIS system and hard copies be made whenever screens are full. These hard copies should be kept indefinitely to provide a complete history of the interaction between each case and the department.

APPENDIX "B"

ROLES AND RESPONSIBILITIES
OF
INCOME MAINTENANCE OFFICERS
JUNE 1985

PREPARED BY: Gilles Belzile
Jean-Claude Boudreau
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Annex 1

TERMS OF REFERENCE

- Establish the role of the Income Maintenance Officers in the delivery system of the Income Security Division

- Clarify the functions of the Income Maintenance Officers

- Determine the level of responsibilitity necessary for the effective performance of the tasks and activities assigned to this group of employees

- Identify in broad terms, the skills, knowledge and abilities required by these front line workers

- Define the nature and the level of intervention of the Income Maintenance Officers

PREFACE

In the Fall of 1983, the Income Maintenance Regional Directors agreed that they should play a more active role in the development of Human Resources within the Income Security Division. It was felt that while the central initiatives in this area were positive, these attempts were more global in nature and did not address the basic issues specific to the Income Security Division. This decision resulted in a comprehensive training survey for IM employees from the Branch Managers level to the administrative support staff. The articulation of a management philosophy, and the definition of a human resource development strategy, provided the necessary framework for the formation of a human resource development committee and a training committee. The role of both of these committees is ongoing. This paper is the result of a subcommittee mandated to look at the role of the Income Maintenance Officers and to provide guidelines to the training committee.

There is a general consensus within the IM Division that the role of the Income Maintenance Officer as described in the training questionnaire and confirmed by the workers themselves in the results of the survey * is not in line with the original intent and expectations the Department had for those positions. It would seem that the worker profile which emerges in 1985 is not consistent with the basic principles inherent to the separation concept which was based on:

- an integrated management structure
- a common screening, information and referral team
- the availability of general support programs for all social assistance clients regardless of which target group they belonged to

The discrepancy between the existing structure and services and the ones in which the separation concept was based should be taken into account if the present role of the Income Maintenance Officer is going to be evaluated equitably.

Since one cannot talk about tasks and activities of a group of employees in isolation, to be meaningful, the analysis also has to take into account the total context not only of the Income Maintenance delivery system, but its relationship to other services and delivery systems within the Department as a whole.

* Marcelle Mersereau, **INCOME MAINTENANCE SURVEY REPORT**, December 1984, p. 5-7

INTRODUCTION

The functions of the Income Maintenance Officers make them the focal point of the Income Maintenance delivery system. They have the first contact with the clientele and as such are placed in a precarious position since they have to define clients needs and determine initial and ongoing eligibility. Regardless of the activity or task performed by these workers, the nature of the work itself requires that an interaction with the clientele remain an integral part of the delivery system. No matter what system is eventually developed there will always be a need to service individuals and families who experience great difficulties due to complex problems such as, unemployment, illness, and the inability to be self-reliant. It is well documented that when people face such hardships, the consequences are not only economic. In their submission to the Royal Commission on the Economic Union and Development Prospects for Canada, the Vanier Institute of the Family described the consequences of unemployment in the following manner:

> " We know as well that in North America a majority of those persons and families served by family agencies are experiencing depression and anxiety as manifest in physical violence, sex-role conflicts, alcoholisms, and marital and family conflicts related to unemployment, underemployment, financial insecurity and indebtedness ".

While the Income Maintenance Officer does not give professional counseling to the client, he or she has to confront the emotional needs of clients and be able to refer the client to others who will offer alternatives and options. If these support sytems are not present or not responsive enough to the needs of the social assistance clients, the role of the Income Maintenance Officer is more difficult and the impact can be negative for both the clients and the employees.

JOB DESCRIPTION

Traditionally job descriptions often fail to describe the full scope of a particular position. Often the complexities of a job are over-simplified and difficult to measure. In 1981 the U.S. Department of Health and Human Services completed a nation wide study of Income Maintenance Workers. In this study the researchers found that formal job descriptions, did not fully present either the breadth or depth of the Income Maintenance Workers in the United States.*

* U.S. Dept. of Health & Human Services, Office & Research and Statistics, **INCOME MAINTENANCE WORKER STUDY: A TWO WAY TAXONOMY AND ANALYSIS**, Volume 1 - Final Report P. V1-V2

The study went further in attesting that the job descriptions over-simplified the I.M.O.'s position by failing to specify the knowledge, skills and abilities needed for making decisions based on continually changing complex regulations for multiple programs, for dealing with clients under stress, and for coping with sometimes adverse working conditions.

The following approach is suggested in order to better describe the Income Maintenance Officers role and responsibilities and to arrive at a clearer picture as to what the expectations are from both management's and the employees' point of view. The analysis will be divided into three (3) sections as follows:

A. **FUNCTIONS OF INCOME MAINTENANCE OFFICERS**

B. **ROLE AND RESPONSIBILITIES**

C. **SKILLS, KNOWLEDGE, ABILITIES REQUIRED TO PERFORM THESE FUNCTIONS**

A. FUNCTIONS OF INCOME MAINTENANCE OFFICERS:

While it is difficult to analyse the role of the Income Maintenance Officer without knowing specifically what changes, the IM Redesign will bring to the Income Maintenance Division, it would be safe to assume at this point that there will still be a need for the assessment and evaluation of social assistance applicants and a necessity for ongoing monitoring of clients to ensure compliance with the Social Welfare Act and Regulations. The tasks and activities related to these two primary functions could vary somewhat depending on the structure of the organization, however, the differences would be one of degree rather than fundamental in nature. An additional constant to these basic responsibilities is the importance of the client/employee relationship. Further change in direction or program barring changes in the social welfare act and regulations would have to be added and not replace these primary responsibilities. It is also important at this stage to recognize that the duties of the Income Maintenance Officer have changed in scope and importance. What was once meant to be a quasi-clerical approach to the delivery of financial assistance no longer seems to be feasible or desirable. While the functions remain financial in nature as opposed to social, the human dynamics involved in a social assistance delivery system cannot either be ignored or minimized. Keeping these generalities in mind the tasks and activities which follow would seem to describe the primary functions of the Income Maintenance Officers:

- interviewing clients
- assessment of eligibility
- provide information to clients, public
- assessment of clients' employability
- assessment of clients' special needs
- verification of data
- referrals
- problem solving/supportive counseling
- caseload management
- job enrichment

Given that the above functions will remain fairly constant it would seem fair that the training committee develop a training plan that will incorporate these basic aspects of the job. However, a certain percentage of time will have to set aside to allow further training in areas not yet determined by the Department or the Division. One such area is the training which will be necessitated with the proposed office automation and enhancement of the RMIS system and the new roles relating to the employment and training programs. A more detailed listing of the above functions can be found in Annex 1.

B. ROLE AND RESPONSIBILITIES:

While the various functions listed in Annex 1 describes the tasks and activities performed by the Income Maintenance Officers, they don't address the basic concepts inherent to the Income Maintenance Officer's role in the delivery of Income Security Programs in the Department. It is important to establish the various levels of intervention performed by our front line workers so that all levels of management and the employees themselves have similar job assessment criteria. It is also desirable that the demarcation of the various service levels be clearly defined so that there is no duplication or overlapping of responsibilities among the different categories of employees within the Division and the Department as a whole:

> " Each helping profession needs its own perspective or frame of reference for viewing the situations it is concerned with. Such a framework should reflect the purpose of the profession and provide it with a unique handle for dealing with those situations ".*

The following concepts will attempt to identify the roles and responsibilities of the Income Maintenance Officers in relation to their functions:

* Allen Pincus, Anne Minohan, **SOCIAL WORKER PRACTICE: MODEL AND METHOD**, F.E. Peacock Publishers, Inc. Itasca, Illinois, Page 9

1. INTERVIEWING CLIENTS:

The primary purpose of the interviewing function is to assess a clients' needs and eligibility. In this process the worker must use a variety of data collecting techniques, evaluate the source of the data, systematically record the information, view the data collection activities in the context of the goals of the programs and services available to the clients. The data collection process must operate in such a way so as to minimize personal biases and ensure objectivity.

II. ASSESSMENT OF CLIENTS' ELIGIBILITY:

The Income Maintenance Officers assess the financial situation of the clients in relation to established Department guidelines and policies and make decisions regarding eligibility of clients for various Income Security Programs.

III. PROVIDE INFORMATION:

The dissemination of information by Income Maintenance Officers ensures that the applicants or clients understand their rights and responsibilities and are made fully aware of the programs and services available through the Department.

IV. ASSESSMENT OF CLIENTS EMPLOYABILITY:

The assessment of employability by the Income Maintenance Officers is to determine the present level of employability of the clients and to evaluate their potential for future employment and to assist them in choosing programs or services which will meet their job related goals. The employability assessment will also determine clients' motivation, skills and abilities and identify employment barriers. The Income Maintenance Officer is an important member of the employment councelling team and ensures that the proper screening and referral mechanisms work effectively.

V. ASSESSMENT OF CLIENTS' SPECIAL NEEDS:

Alleviating immediate distress and providing for the basic necessities will always be a priority in serving clients. The purpose of assessment in the area of special needs is to help the Income Maintenance Officers understand and individualize the situation they are dealing with and to identify and analyse the relevant factors in a particular situation. Its purpose is not to classify, categorize or to assign diagnostic labels to a person or situation. The assessment of special needs is to identify problems and alternatives and to provide a basis for selection among them. The exercise of jugement and decision making skills are key factors in the assessment of emergency situations.

VI. VERIFICATION OF DATA:

In order to avoid situations of overpayments and to minimize the possibility of fraud the Income Maintenance Officers have to exercise efficient control in the administration of the Income Security Programs under their responsibilities.

VII. REFERRALS:

Many individuals find themselves overwhelmed by their physical, emotional, economic, or social conditions. They are often unable to take advantage of existing support systems. The Income Maintenance Officer is an important player in linking people with systems that will provide them with resources, services and opportunities. In cases where the systems are not responsive enough the Income Maintenance Officer often assumes an advocacy role. The involvement of other systems with a client will result in the development of individual case plans, and the use of contracting which is an effective means of ensuring that the various systems work co-operatively.

VIII. PROBLEM SOLVING/SUPPORTIVE COUNSELING:

While the Income Maintenance Officers don't provide professional counseling, they provide an environment of understanding, support and encouragement for people who are in crisis situations. They can also provide an opportunity for people to talk about their difficulties. Describing a situation or airing one's feelings may help an individual organize his or her thinking to see the situation in a new way and possibly make a plan to cope with it. The end result of this approach is to enable individuals to solve their own problems and to use their limited resources more effectively. The Income Maintenance Officers can help people examine alternative ways of solving problems and provide information which will help people make decisions.

IX. CASELOAD MANAGEMENT:

The Income Maintenance Officers are responsible for the management of their respective caseloads. Decisions to refer, to decrease or to increase the rate or to terminate a client hinges heavily on the workers decisions and judgement. Using the caseload management concept reinforces the Income Maintenance Officer's role as the focal point of the Income Maintenance delivery system and ensures a continuity of services for the client.

X. JOB ENRICHMENT:

In order to respond to the developmental needs of the Income Maintenance Officers sufficient lattitude has to be present to allow the workers to exercise their planning, organization and supervisory skills. The effectiveness and productivity of the employees will be in direct proportion to their goal setting and decision making abilities. Shared responsibilities have to be assumed by management and the employees themselves in the area of training, and career development.

C. SKILLS, KNOWLEDGE AND ABILITIES REQUIRED TO PERFORM THESE FUNCTIONS:

The results of the training questionnaire provided us with valuable data regarding the relationship between the various job functions and skills required by the Income Maintenance Officers. While it confirmed that technical knowledge, mathematical ability and clerical skills are still necessary components in the performance of the Income Maintenance Officers functions, it also confirmed and established that other skill areas and abilities need to be stressed and developped further such as:

- analytical ability
- intellectual ability
- communication skills
- decision making abilities
- interpersonal skills
- organizational ability
- personal suitability and motivation
- assessment skills

Regardless of the future role of the Income Maintenance Officers, it is clear that there are a common core of concepts, skills, tasks and activities which are essential to their performance and represent a base from which the Income Maintenance Officers and the Division can build on.

While it is too early to make recommendations regarding the long term training requirements of the Income Maintenance Officer, the short term goals developed by the training committee , will meet most of the needs identified and will lead to a long term framework for future staff development and career pathing. In presenting their training plan the Training and Development Unit made the following proposal which would ensure a consolidated effort to the IMO's training needs. It is proposed that:

- The Supervisor of the Training and Development Unit will explore with representatives from the University of Moncton, University of New Brunswick and the Community College Educational Services Division to negotiate possible assistance with the I.M.O. Training Plan.

- Members of the I.M. Training Committee share the responsibility of gathering information as required for the development of the various programs outlined in the I.M.O. Training Plan.

- The Training & Development Unit assume the major responsibility for the research required for the programs scheduled to be offered in the Fall of 1985.

- The Income Maintenance Division provide support in the area of research giving specific attention to the following programs: Understanding the Role & Principles of the I.M.Division; Social Security; and E.R.S..

The training proposal made by the Training Committee addresses the needs of the Income Maintenance Officers who are presently within the Organization. It does not deal with the academic requirements of future Income Maintenance Officers.

The issue of Income Maintenance Officers at the entry level is outstanding and should be examine in the near future. Since the role of the Income Maintenance Officer has evolved significantly over the years it might mean that the entry requirements need to be adjusted. Negotiations with Community College and possibly with other educational institutions will begin shortly in an attempt to study the feasibility of a credited program for Income Maintenance Officers and to determine the resources available in implementing this training program. Research for material and resources will be on-going and we recommend that the training needs for Income Maintenance Officer's be addressed in an efficient manner in a relatively short period of time.*

An article in the Spring issue of Public Welfare discusses the importance in the training of Intake Workers in primary prevention.

> " There is an increasing appreciation that workers in the human services are presented with a unique opportunity to reach vulnerable clients for purposes of primary prevention. But many such workers do not hold degrees in social work ... The answer, therefore, is to incorporate such material into staff development programs ".*

It is clear that the role of the Income Maintenance Officers is changing as the activities of the Department expand to meet new challenges. While these changes require certain skills to be developed, they also make other less tangible demands on staff. Dealing with ambiguity, change and coping with transitional stress are areas to which we will have to remain sensitive.

* IM Training Committee, **TRAINING PLAN, INCOME MAINTENANCE OFFICERS**, June 1985, pages 11 & 16.

* Serfert Cristine, Hoshino, George, **RECOGNIZING AND HELPING MENTALLY DISTURBED CLIENTS AT INTAKE**, Public Welfare / Spring 1985, P. 10.

CONCLUSION

While it is clear that the functions of the Income Maintenance Officers have expanded since they were initially defined, it is now also apparent that their level of responsibility has gradually been increased. The new signing authority granted to the Income Maintenance Officer's in April 1985 is a concrete example of this changing level of responsibility. These developments explain the diversified training needs identified in the training survey by the employees.

The skills, knowledge and abilities required to perform these enhanced functions are very important if the Income Maintenance Officer's are to be effective and achieve job satisfaction. Since the Income Maintenance Officer's role is still in the process of change, the task of integrating the identified training needs with the emerging ones will require thought and planning.

Another element which will have to be taken into consideration is the impact better trained and more autonomous Income Maintenance Officers will have on the other levels of employees. In a similar context, we have seen how the growth and development of the front line Income Maintenance Supervisors influenced the development of the Income Maintenance Officers.

In 1983, when the division adopted the report *"**STANDARDS OF PERFORMANCE FOR FRONT-LINE INCOME MAINTENANCE SUPERVISORS**", it set forth the tone for the future development of all its employees. The report outlined the changes which had taken place over the years at the front-line supervisory level. It was clear that the role of the supervisor had evolved from one more concerned with control functions to one more involved in the other aspects of supervision, such as planning, organizing and leading. The predictable end result of higher level of supervision is a more proficient work force. If the supervisor is less involved in the daily control of the work, the workers have to develop more autonomy in order to meet the rising expectations of the supervisors. In practical terms this means giving more responsibility to the front-line workers. The effects of the new dimensions for both levels of employees offers many possibilities and challenges. It will be, however, important in order for these new developments to continue that the proper mechanisms and structures be put into place to ensure that the process is fully integrated into our system.

* Department of Social Services, "**STANDARDS OF PERFORMANCE FOR FRONT-LINE INCOME MAINTENANCE SUPERVISORS**", February 1983.

While the mandate of this committee was not to evaluate what impact, if any, the changing of role of the Income Maintenance Officers would have on all the levels of employees such as the administrative support staff and the social work administrators I, it will be necessary in the near future to take a look at these groups of employees to determine what their roles are and if there are changes to be made.

As a result of the committees deliberation it is recommended that:

- That Senior Management study the increasing incidents of violence experienced by staff and prepare a strategy to deal with this important issue. This should be done in consultation with the I.M. management team.

- That performance standards for Income Maintenance Officers be developed based on the functions and the responsibilities as outlined in this report. These standards should then be incorporated in the performance appraisal system.

- That the training committee chaired by the Director of Training and Development report directly to the Regional Directors via the provincial meetings and special reports.

- That the training committee build in the comprehensive training plan an evaluation component.

- That the yearly regional planning for staff training take into account the Divisional Training Plan.

- That the roles and responsibilities of front-line professional employees be defined.

- That a clearer delineation of responsibility between the two main operational divisions be defined at the Senior Management level to ensure easier access to services.

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Annex 1

FUNCTIONS OF INCOME MAINTENANCE OFFICERS

A. INTERVIEWING CLIENTS

1. Acknowledges and responds to clients initial emotional state and establishes working relationship characterized by mutual respect, trust, and rapport to facilitate mutual exchange of information.

2. Directs and controls the flow of conversation in order to ask questions related to eligibility factors.

3. Reviews completed application with applicant ensuring it is properly completed and signed and that applicant understands the declaration he/she is making.

4. Communicates to client suspicions of misrepresentation and confronts with evidence if necessary.

5. Contacts clients to obtain additional information or to clarify information obtained during formal interview.

6. In certain circumstances interviews the clients in a home situation.

B. ASSESSMENT OF CLIENTS ELIGIBILITY:

1. Complete case profile and determines initial eligibility by applying the budget deficit method considering the financial factors affecting all members of the unit.

2. Has applicant sign required form giving Department authorization to have access to and examine accounts held by applicant with other persons, bank, trust company, insurance company or other financial institution.

3. Ensures that proper investigative work is carried out before assistance is authorized - name, address, age, salary, U.I.C., financial institutions, previous employers, etc ...

4. Authorizes or refuses assistance and determines mode of payment for applicant.

5. Recommendsemergency assistance in accordance with the regulations (article 4(4)).

6. Determines which target group the client belongs to.

C. PROVIDE INFORMATION:

1. Describes available departmental programs to clients and other interested persons, assess clients' understanding of policy and offers further clarification if needed.

2. Informs applicant of his/her responsibility should there be a change in his/her circumstances.

3. Informs applicant of rejection/acceptance of his/her application and the reasons for it.

4. Informs applicant of his/her rights to appeal if he/she is dissatisfied with the decision regarding assistance.

5. If a trustee is required, has client agree to trustee being appointed and ensures trustee is aware of his/her responsibilities.

D. ASSESSMENT OF CLIENTS EMPLOYABILITY:

1. Completes employability assessment form.

2. Ensures that all necessary documents are on file.

3. Completes social assessment and determines level of employability.

4. Assesses the medical report and follows up if necessary.

5. Provides information on employment related programs.

6. Assists clients access job preparation programs such as job finders clubs, life skills, etc.

7. Assists clients in identifying and removing job barriers by providing information on available support systems such as day care services, special items, transportation allowances, etc.

8. Refers clients to Specialized Employment Services.

E. ASSESSMENT OF CLIENTS' SPECIAL NEEDS:

1. Gathers appropriate facts to establish initial eligibility or ongoing eligibility for Departmental services such as:
   - Day Care Services
   - Special Items
   - Disability Assistance
   - Emergency Services

2. Identifies immediate problem presented by client and clarifies what client expects from Department.

3. Assesses whether Department is able to provide services to meet clients immediate needs.

4. Recommends special items or services according to guidelines.

5. Identifies supplemental resources within the community, explains these benefits, and make referrals for clients.

F. VERIFICATION OF DATA:

1. Assists clients in efforts to obtain specific documents, information, and signatures as required.

2. Carries out routine U.I.C., C.P.P., O.A.S./G.I.S., W.C.B. earned income checks on section of caseload assigned.

3. Does routine investigation on complaints to determine if they should be persued further by audit. If so, refers; if not, documents file.

G. REFERRALS:

1. Identifies problems that require referrals to other IM professionels support services to CSS or other agencies or Community groups.

2. Is familiar with all Departmental programs and services and refers clients appropriately within the system.

3. Takes initiatives to learn about resources in the community on an ongoing basis as related to the needs of individual clients.

4. Is familiar with basic community resources which complement the social assistance program and makes direct client referrals.

5. Develops some rapport with key persons working in frequently utilized resources.

6. Advises clients on legal procedures for requesting financial support from separated spouses.

7. Is able to write and ~~prepare~~ individual case plans which will provide direction for work with the client and his total situation.

8. Uses contracting effectively to motivate clients so that they may achieve greater potential.

H. **PROBLEM SOLVING/SUPPORTIVE COUNSELING:**

1. Suggests an ordering of priorities to clients to assist them in their goal of establishing eligibility.

2. Assists clients with problems related to financial need such as helping clients to locate affordable housing.

3. Evaluates the need for non-requested services and refers case to protective or to social worker as indicated.

4. Offers support and motivation for clients' attempts to establish self-sufficiency.

5. Demonstrates concern for client and shows he/she is interested in helping.

6. Supports obvious strengths in clients and their situation as expressed via concrete facts - (good work history)

7. Demonstrates a tolerance for negative feelings generated by the clientele.

I. **CASELOAD MANAGEMENT:**

1. Independently organizes all material in case record.

2. Recommends and ensure file back-up for any changes made to cases assigned during period of payment.

3. Authorizes continuing voucher issue if deemed appropriate.

4. Carries out correspondence with client in relation to financial matters and gets appropriate recommendations and makes referrals where required.

5. Ensures acceptable back-up for assessing continued eligibility is maintained and documented.

6. Cancels cases where appropriate client response is not forth-coming.

7. Discusses budget related problems with clients and attempts to provide basic budget counseling.

8. Checks periodically to verify assistance does not exceed eligibility. Ensures a new case profile is prepared or adjustements made where there is a change in circumstances.

9. Utilizes cases requiring review report for purposes of review.

10. Informs clients of continuing eligibility requirements and departmental policy changes affecting their eligibility.

11. Ensure all review listings and a yearly review is maintained on the caseload.

12. Advises clients in writing if assistance is discontinued, decreased and the reason for it. Informs client of his/her rights to appeal if he/she is dissatisfied with the decision regarding assistance.

13. Ensures that all pertinent statistics in caseload are maintained.

14. Keeps client profile updated.

J. **JOB ENRICHMENT:**

1. Plans the most efficient use of work time.

2. Attends all required unit meetings and training sessions.

3. Shares workload, insights, and understandings with co-workers.

4. Assumes responsibilitiy for extra duties or special projects as assigned by supervisor, including assisting new workers to implement policies and procedures.

5. Advises supervisor of recommended changes in policies, procedures, and programs.

APPENDIX "C"

ORGANIZATIONAL REVIEW PROJECT

INTERPROVINCIAL COMPARISONS

ADMINISTRATIVE COST/CASE/MONTH

Shirley Basque-Bérubé
Planning & Evaluation
Income Assistance
Revised document
10 March 1987

ORGANIZATIONAL REVIEW PROJECT

BACKGROUND

The Organizational Review Project in New Brunswick is attempting to review and evaluate the evolution of events since the separation of services, and agree on a set of service standards.

The Review is focusing on:

a) the nature of intervention with clients;

b) the most effective and efficient way to harmonize and structure the related responsibilities;

c) the development of some workload standards and resource requirements.

The Planning and Evaluation Division has been asked by the Director of the Project to collect data from other provinces throughout Canada, to show a correlation between the caseload increase and adequate staffing and to compare administrative costs over total benefits.

The purpose of the exercise is to determine what percentage of total benefits is allocated to administration and where possible, to show an administrative cost per case.

STATISTICS

1.0 Collection of data

The information to be gathered was defined as:

Primary 3: salaries; Primary 4: administrative costs such as telephone, postage, travel, printing, copying, and repairs; Primary 5: Forms and stationery; Primary 6: office equipment but to exclude any rentals or costs absorbed by another department or division. Program Costs: all benefits to clients.

2.0 Interprovincial comparisons

The following provinces were identified for possible comparisons of data:

a) Federal Government: check to ensure that such information has not already been collected by the National Health and Welfare Department.

b) Ontario: a two-tier social assistance delivery network.

c) Saskatchewan: exclude employment programs.

d) Manitoba

e) Quebec

f) Newfoundland: exclude employment programs.

g) British Columbia

h) New Brunswick

3.0 Definitions

Case will refer to the number of family units (single or multiple-person) in receipt of benefits.

Benefit expenditures do not include costs related to drug/health benefit programs.

4.0 Timetable

February 13th: status report to Roger Levesque

February 20th: all information forwarded to Roger.

February 28th: completion of Roger's Report.

INTERPROVINCIAL COMPARISONS

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

PROVINCE	ADMINISTRATIVE COST/CASE/MONTH / TOTAL COST/CASE/MONTH	%
ONTARIO	$ 28.28 / $507.53	05.6%
QUEBEC	$ 24.78 / $508.71	04.9%
BRITISH COLUMBIA	$ 23.33 / $480.60	04.9%
SASKATCHEWAN	$ 37.13 / $562.03	06.6%
MANITOBA	$ 33.93 / $441.73	07.7%
NEW BRUNSWICK	$ 17.00 / $450.31	03.8%

PROVINCE OF ONTARIO

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985-1986

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS

Provincial	$ 38,076,608	
Municipal	$ 40,277,148	$ 78,353,756

SOCIAL ASSISTANCE PROGRAM

Provincial.....	$896,517,657	
Municipal.....	$431,357,581	$1,327,875,238

TOTAL YEARLY EXPENDITURES $1,406,228,994

B) TOTAL YEARLY ADMINISTRATIVE COSTS	$ 78,353,756	05.9%
TOTAL YEARLY BENEFITS	$1,327,875,238	

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	$ 6,529,479
TOTAL MONTHLY BENEFITS	$110,656,269
TOTAL MONTHLY EXPENDITURES.....	$117,185,748

TOTAL MONTHLY BENEFITS	$110,656,269	$479.25
AVERAGE MONTHLY CASES	230,897	
TOTAL MONTHLY ADMIN. COSTS	$ 6,529,479	$ 28.28
AVERAGE MONTHLY CASES	230,897	
TOTAL MONTHLY EXPENDITURES	$117,185,748	$507.53
AVERAGE MONTHLY CASES	230,897	

ADMINISTRATIVE COST/CASE/MONTH	$ 28.28	05.6%
TOTAL COST/CASE/MONTH	$ 507.53	

PROVINCE OF ONTARIO

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985 - 1986

PROVINCIAL - F.B.A.

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS.....	$ 38,076,608
SOCIAL ASSISTANCE PROGRAM.....	$ 896,517,657
TOTAL YEARLY EXPENDITURES.....	$ 934,594,265

B)

TOTAL YEARLY ADMINISTRATIVE COSTS	$ 38,076,608	4.2%
TOTAL YEARLY BENEFITS	$ 896,517,657	

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	$ 3,173,050	
TOTAL MONTHLY BENEFITS	$ 74,709,805	
TOTAL MONTHLY EXPENDITURES.....	$ 77,882,855	
TOTAL MONTHLY BENEFITS	$ 74,709,805	$484.64
AVERAGE MONTHLY CASES	154,154	
TOTAL MONTHLY ADMIN. COSTS	$ 3,173,050	$ 20.58
AVERAGE MONTHLY CASES	154,154	
TOTAL MONTHLY EXPENDITURES	$ 77,882,855	$505.22
AVERAGE MONTHLY CASES	154,154	
ADMINISTRATIVE COST/CASE/MONTH	$ 20.58	4.1%
TOTAL COST/CASE/MONTH	$505.22	

PROVINCE OF ONTARIO

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985 - 1986

MUNICIPAL -

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS.....	$ 40,277,148
SOCIAL ASSISTANCE PROGRAM.....	$ 431,357,581
TOTAL YEARLY EXPENDITURES.....	$ 471,634,729

B)

TOTAL YEARLY ADMINISTRATIVE COSTS	$ 40,277,148	9.3%
TOTAL YEARLY BENEFITS	$ 431,357,581	

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	$ 3,356,429	
TOTAL MONTHLY BENEFITS	$ 35,946,465	
TOTAL MONTHLY EXPENDITURES.....	$ 39,302,894	
TOTAL MONTHLY BENEFITS	$ 35,946,465	$336.76
AVERAGE MONTHLY CASES	106,743	
TOTAL MONTHLY ADMIN. COSTS	$ 3,356,429	$ 31.44
AVERAGE MONTHLY CASES	106,743	
TOTAL MONTHLY EXPENDITURES	$ 39,302,894	$368.20
AVERAGE MONTHLY CASES	106,743	
ADMINISTRATIVE COST/CASE/MONTH	$ 31.44	8.5%
TOTAL COST/CASE/MONTH	$368.20	

PROVINCE OF QUEBEC

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985 - 1986

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS			
Provincial	88 227 500 $		
Ville de Montreal	23 287 300 $	111 514 800 $	
SOCIAL ASSISTANCE PROGRAM			
Total benefits	2 177 693 117 $	2 177 693 117 $	
TOTAL YEARLY EXPENDITURES		2 289 207 917 $	

B)

TOTAL YEARLY ADMINISTRATIVE COSTS		111 514 800 $	
TOTAL YEARLY BENEFITS		2 177 693 117 $	05.1%

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	9 292 900 $		
TOTAL MONTHLY BENEFITS	181 474 418 $		
TOTAL MONTHLY EXPENDITURES	190 767 318 $		
TOTAL MONTHLY BENEFITS	181 474 418 $		
AVERAGE MONTHLY CASES	375 000	483 93 $	
TOTAL MONTHLY ADMIN. COSTS	9 292 900 $	24 78 $	
AVERAGE MONTHLY CASES	375 000 $		
TOTAL MONTHLY EXPENDITURES	190 767 318 $		
AVERAGE MONTHLY CASES	375 000 $	508 71 $	
ADMINISTRATIVE COST/CASE/MONTH	24 78 $		04.9%
TOTAL COST/CASE/MONTH	508 71 $		

PROVINCE OF BRITISH COLUMBIA

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1984-1985 ($MILLIONS)

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS	$ 35.9 M
SOCIAL ASSISTANCE PROGRAM	$ 703.2 M
YEARLY EXPENDITURES	$ 739.1 M

B)

TOTAL YEARLY ADMINISTRATIVE COSTS	$ 35.9 M	05.1%
TOTAL YEARLY BENEFITS	$ 703.2 M	

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	$ 2.99 M	
TOTAL MONTHLY BENEFITS	$ 58.60 M	
TOTAL MONTHLY EXPENDITURES.....	$ 61.59 M	

TOTAL MONTHLY BENEFITS	$ 58.60 M	$457.27
AVERAGE MONTHLY CASES	128,151	
TOTAL MONTHLY ADMIN. COSTS	$ 2.99 M	$ 23.33
AVERAGE MONTHLY CASES	128,151	
TOTAL MONTHLY EXPENDITURES	$ 61.59 M	$480.60
AVERAGE MONTHLY CASES	128,151	

ADMINISTRATIVE COST/CASE/MONTH	$ 23.33	
TOTAL COST/CASE/MONTH	$480.60	04.9%

PROVINCE OF SASKATCHEWAN

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1984-1985 ($ MILLIONS)

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS	$ 13.501 M
SOCIAL ASSISTANCE PROGRAM	$190.833 M
TOTAL YEARLY EXPENDITURES	$204.334 M

B) TOTAL YEARLY ADMINISTRATIVE COSTS / TOTAL YEARLY BENEFITS = $ 13.501 M / $190.833 M = 07.1%

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	$ 1.125 M	
TOTAL MONTHLY BENEFITS	$ 15.903 M	
TOTAL MONTHLY EXPENDITURES	$ 17.028 M	
TOTAL MONTHLY BENEFITS / AVERAGE MONTHLY CASES	$ 15.903 M / 30,297	$524.90
TOTAL MONTHLY ADMIN. COSTS / AVERAGE MONTHLY CASES	$ 1.125 M / 30,297	$ 37.13
TOTAL MONTHLY EXPENDITURES / AVERAGE MONTHLY CASES	$ 17.028 M / 30,297	$562.03

ADMINISTRATIVE COST/CASE/MONTH / TOTAL COST/CASE/MONTH = $ 37.13 / $ 562.03 = 06.6%

PROVINCE OF MANITOBA

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985-1986

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS		
Provincial..... $ 7,699,700		
Municipal..... $ 5,556,100	$ 13,255,800	
SOCIAL ASSISTANCE PROGRAM		
Provincial..... $118,265,700		
Municipal..... $ 41,073,100	$ 159,338,800	
TOTAL YEARLY EXPENDITURES.....	$ 172,594,600	
B) TOTAL ADMINISTRATIVE COSTS	13,255,800	08.3%
TOTAL BENEFITS	$ 159,338,800	

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	$ 1,104,650	
TOTAL MONTHLY BENEFITS	$ 13,278,233	
TOTAL MONTHLY EXPENDITURES	$ 14,382,883	
TOTAL MONTHLY BENEFITS	$ 13,278,233	$407.80
AVERAGE MONTHLY CASES	32,560	
TOTAL MONTHLY ADMIN. COSTS	$ 1,104,650	$ 33.93
AVERAGE MONTHLY CASES	32,560	
TOTAL MONTHLY EXPENDITURES	$ 14,382,883	$441.73
AVERAGE MONTHLY CASES	32,560	
ADMINISTRATIVE COST/CASE/MONTH	$ 33.93	07.7%
TOTAL COST/CASE/MONTH	$441.73	

PROVINCE OF MANITOBA

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985 - 1986

PROVINCIAL

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS	$ 7,699,700
SOCIAL ASSISTANCE PROGRAM	$ 118,265,700
TOTAL YEARLY EXPENDITURES.....	$ 125,965,400

B) TOTAL ADMINISTRATIVE COSTS / TOTAL BENEFITS — $ 7,699,700 / $ 118,265,700 — 06.5%

C) MONTHLY ADMINISTRATIVE COST PER CASE

ADMINISTRATIVE COSTS	$ 641,642		
TOTAL BENEFITS	$ 9,855,475		
TOTAL MONTHLY EXPENDITURES	$ 10,497,117		
TOTAL MONTHLY BENEFITS / AVERAGE MONTHLY CASES	$ 9,855,475 / 22,665	$434.83	
TOTAL MONTHLY ADMIN. COSTS / AVERAGE MONTHLY CASES	$ 641,642 / 22,665	$ 28.31	
TOTAL MONTHLY EXPENDITURES / AVERAGE MONTHLY CASES	$ 10,497,117 / 22,665	$463.14	
ADMIN. COST/CASE/MONTH / TOTAL COST/CASE/MONTH	$ 28.31 / $463.14		06.1%

PROVINCE OF MANITOBA

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985 - 1986

MUNICIPAL

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS	$ 5,556,100
SOCIAL ASSISTANCE PROGRAM	$ 41,073,100
TOTAL YEARLY EXPENDITURES	$ 46,629,200

B) TOTAL ADMINISTRATIVE COSTS	$ 5,556,100		13.5%
TOTAL BENEFITS	$ 41,073,100		

C) MONTHLY ADMINISTRATIVE COST PER CASE

ADMINISTRATIVE COSTS	$ 463,008
MONTHLY BENEFITS	$3,422,758
MONTHLY EXPENDITURES	$3,885,766

TOTAL MONTHLY BENEFITS	$3,422,758	$345.90
AVERAGE MONTHLY CASES	9,895	
TOTAL MONTHLY AD. COSTS	$ 463,008	$ 46.79
AVERAGE MONTHLY CASES	9,895	
TOTAL MONTHLY EXPENDITURES	$3,885,766	$392.69
AVERAGE MONTHLY CASES	9,895	

ADMINISTRATIVE COST/CASE/MONTH	$ 46.79	11.9%
TOTAL COST/CASE/MONTH	$392.69	

PROVINCE OF NEW BRUNSWICK

ALLOCATION OF ADMINISTRATIVE COSTS

TO INCOME ASSISTANCE PROGRAM

BUDGET YEAR 1985-1986

A) TOTAL YEARLY EXPENDITURES

ADMINISTRATIVE COSTS

Salaries	$ 6,440,300	
Administration	$ 1,109,600	$ 7,549,900

SOCIAL ASSISTANCE PROGRAM

Total benefits.....	$192,388,300	$192,388,300

TOTAL YEARLY EXPENDITURES $199,938,200

B) TOTAL YEARLY ADMINISTRATIVE COSTS / TOTAL YEARLY BENEFITS: $ 7,549,900 / $192,388,300 = 03.9%

C) ADMINISTRATIVE COST/CASE/MONTH

TOTAL MONTHLY ADMINISTRATIVE COSTS	$ 629,158		
TOTAL MONTHLY BENEFITS	$16,032,358		
TOTAL MONTHLY EXPENDITURES	$16,661,516		
TOTAL MONTHLY BENEFITS / AVERAGE MONTHLY CASES	$16,032,358 / 37,000	$433.31	
TOTAL MONTHLY ADMIN. COSTS / AVERAGE MONTHLY CASES	$ 629,158 / 37,000	$ 17.00	
TOTAL MONTHLY EXPENDITURES / AVERAGE MONTHLY CASES	$16,661,516 / 37,000	$450.31	
ADMINISTRATIVE COST/CASE/MONTH / TOTAL COST/CASE/MONTH	$ 17.00 / $ 450.31		03.8%

ANNÉX "A"

LIST OF PEOPLE CONTACTED

1.	Federal Government:	(613) 957-3046
	Marilyn Williss Health and Welfare Canada	
2.	Ontario:	(416) 965-9505
	Alan Kirk Policy & Program Development Analyst Income Maintenance Branch Ministry of Community & Social Services	
3.	Saskatchewan:	(306) 787-7472
	Clem Reid Saskatchewan Social Services	
4.	Quebec	(418) 643-7058
	Serge Bergeron Direction des programmes de sécurité du revenu Ministère de la Main-d'oeuvre et de la sécurité du revenu	
5.	British Columbia	(604) 387-1486
	Ron Williams Manager Income Assistance Division	
6.	Manitoba	(204) 945-2692
	Doug Sexsmith Director Provincial Social Assistance Employment Services & Economic Security	
7.	Newfoundland	(709) 737-3243
	Terry Haire	

APPENDIX "D"

TERMS OF REFERENCE
ORGANIZATIONAL EFFECTIVENESS PROJECT

1.	Scope:	I.M. Field Delivery System and Structure
2.	Objective:	Develop base-line figures (human resource allocation) given current procedures and technology at minimum acceptable service standard (quality); greater standardization on least cost service model.
3.	Desired Results:	a) Definition of service standards. b) Recommendation on service model, i.e. - lowest cost at acceptable service level. c) Develop workload standards. d) Inter-provincial comparisons.
4.	Reporting Relationship:	While the incumbent will report to the Deputy Minister, it is expected that he will function independently.
5.	Client:	Income Security Division.
6.	Methodology:	- self-logging - may require services of external consultants - written report - preliminary study plan - final report - methodology used; research file with data.
7.	Relationship to U.T.&P. and PIP:	Linkages between Organizational Effectiveness Project, U.T.&P. and PIP are accomplished by means of joint senior level management membership on respective steering committees. It is expected that this will encourage the discussion of issues common to the three projects.
8.	Project Duration:	Final report to be submitted to the Deputy Minister by March 31, 1987.
9.	Financial and Human Resources:	The project leader will have a budget sufficient to cover project costs, including administrative support and consulting services.

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SPECIFIC EXPECTATIONS/STANDARDS

AS PER RECOMMENDATIONS:

E,2 - IMPROVING OUR KNOWLEDGE OF CLIENT CIRCUMSTANCES AND OUR RELATIONSHIP WITH THEM

E,3 - PROVISION OF INFORMATION

E,4 - INTERVENTIONS

E,5 - RESPONSE AND MONITORING

E,6 - DOCUMENTATION

F,1 - SPECIAL ITEMS

E,2 - IMPROVING OUR KNOWLEDGE OF CLIENT CIRCUMSTANCES AND OUR RELATIONSHIP WITH THEM.

STATEMENT OF PRINCIPLE

While respecting the client's autonomy and his right for privacy, the case worker will need to acquire the necessary information to fully understand the client circumstances and problem(s) that brought about his/her need for financial assistance. This will be carried out as a logical extention of our testing and verification of eligibility for financial assistance.

The case worker will make the client aware of his/her responsibility of becoming more independent and will encourage him/her to set realistic goals in meeting his overall physical needs. While this function is being performed, the case worker should never lose sight of his professional integrity, corporate commitment and the client's vulnerability.

The following standards will apply:

1) Whenever a client contacts the office for an appointment, he will be asked to specify the reason for requesting a meeting.
2) Using this information and by reviewing file documentation, the case worker will establish an objective for his meeting with the client.

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3) During the initial contact, the case worker will gather the monthly financial commitments of the client in order to gain an overall understanding of his financial circumstances.

4) The worker will establish with every client a short-term goal towards self-sufficiency and/or self-actualization in a mutually agreeable format. This will not normally be finalized at the initial contact.

5) The previous goal statement should serve as the foundation for the client/worker partnership in realizing the goal.

6) The case manager will abstain to intervene in service areas he does not have expertise in or a mandate for and in issues unrelated to the departmental mission.

7) The case worker will respect the client's value system and treat all information objectively and confidentially.

8) The case manager, in his interventions, will foster a climate of trust by establishing a helping relationship with the client. He will avoid presenting an image of authority while promoting one of equal cooperation in a partnership.

9) Once information is captured through this process, it will be recorded in the client's case journal to avoid having to repeat the same process in other contacts.

Since the previous steps are crucial in establishing the goal statement and partnership that will serve in the case management functions, they will be followed whenever their is a client worker contact/interactions.

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E,3 - PROVISION OF INFORMATION

STATEMENT OF PRINCIPLE

The department must ensure that every client is made aware of his/her rights and responsibilities as well as any or all information respecting appropriate program or service streams. This information is to be provided in such a way so as to facilitate the clients understanding, e.g. - appropriate reading level. This information shall be provided in such a way as to respect the dignity and rights of our clients in keeping with the department's mission. The client and the department share a common goal of fully assessing the needs of the client and of plotting a strategy to meet those needs.

The following are minimum standards which must be met by all offices:

1) The first and foremost point of information dissemination is at Registration, as this is where applicants/clients first interact with the department and access our programs and services. It is understood that the applicant will be advised of all specific requirements, e.g. - documentation, prior to the actual interview. This should be given in writing when possible and by checklist over the telephone in all other cases.

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2) All applicants/clients are to be made fully aware of their rights and responsibilities regarding the department's programs and services.

3) All documents are to be intelligible to our clients and explained regarding the rights and responsibilities cited above.

4) Overview of department and programs and services shall be provided in written, and where applicable, oral, form. This will include the department's mission, as well as the objectives of the various programs and services.

More specifically, this level of information dissemination will occur primarily in two stages which are as follows:

i) Basic - at Registration - clients have explained in detail basic assistance programs including rate structures and budget deficit calculations, and when relevant, supplementary benefits, Health Services and fuel supplement.

At this time a brief mention or discussion of further programs or services, e.g. - U. T. & P., budget counselling, etc., may occur.

ii) Follow-through - provision of detailed information respecting various programs and services which are to be accessed by the client, which were not covered at Registration (Basic). This would include explanation of specific program goals and the

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service components to be utilized. Depending on the situation this stage may involve actual case planning where step by step involvement of the client, department, other agencies will be discussed.

5) Where group sessions are used as a vehicle for information provision, alternatives must be in place to accommodate those clients unable or unwilling to avail themselves of the group session. Note that group sessions must meet all previously stated standards regarding the provision of information.

6) Clients must be informed of the existence of external agencies which may be of use or service to them and a complete listing of such agencies in their community must be available for provision to clients who request them or whom a worker feels would benefit from them.

7) Recommendations under "Part IV - Client Education" of the PIP Registration Opportunity Report are endorced as acceptable standards. (See appropriate pages 15 to 18 of the Report attached).

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E,4 - INTERVENTIONS

STATEMENT OF PRINCIPLES

Intervention is always predicated on the existence of a clearly stated and recognizable goal or objective. The intervention is always remedial in thrust and taking full advantage of our knowledge core of the client and the services available. Beyond the financial intervention, the department will also focus on developing expertise in the areas of debt management, budget counselling and exit related services.

The following standards apply:

1) Taking advantage of the rapport developed with the client at Registration, collaborative plans of action for achieving the goal will be a primary objective.

2) Intervention must be timed in such a way as to be most effective*, e.g.- if a client's basic needs are not met, it is premature to explore longer term educational goals.

3) Goals of intervention must be:**

   a) realistic and achievable

   b) desired by the client and agreed to by client and worker

* The automated Brought Forward System is the recommended tool to ensure timely interventions.

** All interventions are to be recorded in the automated Case Journal.

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c) clearly stated

d) emphasize self-actualization

e) avoid over participation by worker

f) identify third party agency or participant and state the level of their involvement.

4) Direct interventions, e.g. - budget/employment councelling must only be carried out by qualified personnel, equiped to deal with the area of concern.

5) With client's agreement, intervention in the form of advocacy to other service providers is to be carried out whenever needed. In this way the department uses its expertise and position to promote agencies, their programs and policies which are most beneficial to our clientèle.

6) Referrals - In intervention, the case manager is expected to link client service needs to the appropriate providers/agencies. Specifically, he/she must:

a) Be familiar with all government and community programs and services which may be of service to our clients.

b) Be fully cognizant of the clientèle, i.e. - both situational and individual characteristics and associated needs.

c) Evaluate the need for non-requested services and refer case to appropriate service provider.

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d) Develop and maintain positive relationships with both clients and service providers to link appropriate clients to appropriate service.

7) Problem Solving - The following are key elements in the role of the case manager when working with the clientèle. These elements of intervention are facilitating in nature and are rarely complete or comprehensive in and of themselves:

a) Suggest an ordering of priorities to clients in order to assist them. This may range from immediate crisis interventions to meeting their goal of establishing eligibility.

b) Assist clients with problems or any matters relating to a benefit such as helping clients to locate affordable housing or alternate living arrangements.

c) Offer suffort and demonstrate concerns for clients in their efforts toward self-sufficiency and self-actualization.

d) Reinforce client's sense of self-worth and demonstrate a tolerance for negative feelings that the client may express.

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E,5 - RESPONSE AND MONITORING

STATEMENT OF PRINCIPLES

The process of goal statement and scheduled interventions with the client, shall incorporate appropriate checks and balances to ensure an effective review system.

Furthermore to promote the equal partnership approach and in respect of the client and his/her service requirements, the case worker should be diligent in providing a timely response to client enquiries.

For all clients who comprise the case worker's caseload, remedial action to meet needs must be taken promptly or immediately if the need is urgent.

1) The following timetable will be respected:

   a) applications will be processed within two (2) days;

   b) special items will be answered within forty eight (48) hours;

   c) phone calls should be returned within forty eight (48) hours;

   d) follow-up to client enquiries should be initiated within twenty four (24) hours

   e) information which impact on eligibility should be promptly recorded and acted upon within three (3) days and before next system cut-off.

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All of the above should be handled with tact, diplomacy and thoroughness.

2) The home visit when desirable and justified will be an acceptable method to determine the accuracy of information provided by the client during the registration or continuing eligibility process. This type of intervention is different from the investigative process which is performed with other specific objectives in mind.

Since each case should be reviewed as often as the circumstances necessitate, it will be the responsibility of the case worker along with the local manager to determine which clients should receive a home visit. In establishing priorities, attention should be given to:

- clients identified as higher risk through the registration or ongoing process;
- clients having been in the system for three months.

3) As part of the ongoing process, each case in the U. T. & P. and Interim group should be reassessed yearly through a socio-economic review performed by the case manager. These reviews will be performed, whenever desirable, via a home visit and will serve as a basis to review the client's circumstances and reaffirm or redefine the client's goal toward self-sufficiency or self-actualization.

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E,6 - DOCUMENTATION

STATEMENT OF PRINCIPLE

Recording is to ensure a continuity of client/department contacts that transcend the client's contact with any individual worker. It will be used to organize the worker's thoughts about a case, facilitate the plan for future courses of action and provide the necessary back-up for administrative review. It also acts as a necessary link between all of the service providers involved with a specific client.

Recording should only contain objective information and exclude worker's personal values, attitudes and, above all, interpretations. It should be written in such terms that the worker would be willing to have the client read it if the occasion arose.

More specifically, recording should:

- Be written in a clean and concise manner.
- Include the date of writing and the name of the writer.
- Be factual and not judgemental.
- Specify the reasons for the decision taken.
- Refer to other file information instead of duplicating it, i.e. - refer to investigative report instead of repeating it.

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- Include all pertinent day to day information that affects the outcome of a client's case.
- Explain B.F. decisions and not replace the system.

Relating to daily activities in the office, recording should be done in the following situations:

- When a case is open to explain the reason and circumstances for the request and the decision taken.
- When a case is closed to explain the reason why it was cancelled.
- To back up changes on the C.P., when there is either a familial or financial change to the unit.
- When there is a verification made to a third party, i.e. - C.P.P., U.I.C., etc, for future use.
- When a decision is given over the telephone for future reference.
- When the client is referred to a service provider to specify the reason for the referral.
- When a case plan is prepared with a client and interventions are carried out.
- When client special requests are either approved or refused reasons are given in order to serve as back-up for the regional reviewer.

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It is recommended that the recording be kept in the RMIS system and hard copies be made whenever screens are full. These hard copies should be kept indefinitely to provide a complete history of the interaction between each case and the department.

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F,1 - SPECIAL ITEMS

STATEMENT OF PRINCIPLE

The department must strive to provide supplementary benefits in a fair and consistent manner while maintaining discretionary authority at the community level.

- Criteria for decision making and guidelines and procedures must be maintained provincially as the foremost control to maintain fairness and consistency in the provision of special items.
- Local application of these criteria must be monitored closely to ensure an optimum level of consistency within a community. Thus fairness is a realistic provincial goal while consistency becomes the attainable community goal.

The Management of Special Items will now comprise of the following:

a) Client needs are assessed in consideration of the absence or presence of options, while ensuring that the well-being of the client is protected. For the purpose of special assistance, a "person in need" is one who by reason of financial hardship has budgetary needs in excess of his/her income. This activity will be undertaken within normal budget responsibility and accountability.

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b) Regular staff meeting and or supervisor/worker reviews shall be carried out to monitor for consistent interpretation and application of special item guidelines in the community.

c) Reviews of interpretation and application of special items guidelines will take place at each regular meeting of the Regional Directors.

d) Management data generated by the RSIP System will be used as pertinent indicators in discussing the interpretation and application of special item guidelines and delivery. This will occur at Regional Directors' meetings as well as regional staff and or supervisor/worker meetings.

e) In the future, special item guidelines will be result oriented and will avoid preoccupations with process and procedures.

f) In no case will an office or worker attempt to recover monies from a client which were disbursed on behalf of a client under normal special item guidelines.

ORGANIZATIONAL COMPONENT

AS PER RECOMMENDATION

G,1 - FIELD DELIVERY (SERVICES)

ORGANIZATION COMPONENT

STATEMENT OF PRINCIPLE

Each local office should structure itself in such a way that the work is carried out in the most efficient way possible while ensuring that the service objectives are met or at least not hampered by the structure.

Other principles that should be adhered to in structuring and assigning work locally are:

a) Work should be distributed more evenly.

b) Span-of-control norms should be maximized.

c) Ensure maximum utilization of the administrative support function.

d) Assign the screening function to someone at the case manager level.

e) The case manager function is now requiring mobility. (Local deviation should be allowed as an interim measure).

f) Functions assigned to case manager constitute a natural entity.

g) The employee assigned the "area review" responsibility should either report directly to the Regional Director or have a functional reporting relationship with him/her to project impartiality.

h) Specialized Employment Related Services should be set-up independently but closely related with financial assistance.

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i) The employee assigned the Community Voluntary Action responsibility should either report directly to the Regional Director or have a functional reporting relationship with him/her.

j) Consideration should be given in intergrating CVA and ERS services because of commonality in community inter-relationships and style of services.

k) Investigators (when more than one (1) in one office) should report to the same manager and preferably directly to the Regional Director.

l) Each work unit should control the maximum number of elements within their scope of responsibilities.

LOCAL APPLICATION OF STRUCTURE

In reviewing the work packaging as suggested in Section "G,1 - Field Delivery (Services)" of this Report, we realize that a natural structure adaptable to most offices, with minor variations, is emerging.

Nevertheless, the following is an attempt to project this structure within the field system. Three models are projected for each group as follows:

A) Offices where the only level of management is either the Branch Manager of Regional Director.

B) Offices where the Branch Manager or Regional Director is accompanied by one other front-line supervisor.

C) Offices where the Regional Director is accompanied by two (2) or more front-line supervisors.

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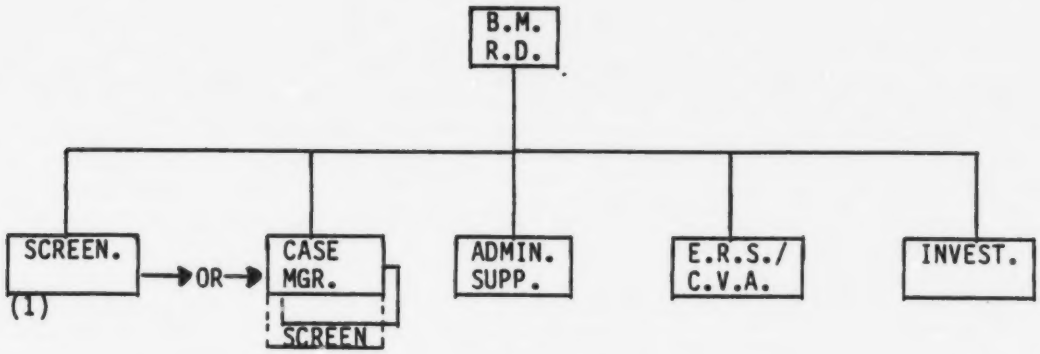
MODEL "A"



(1) This is not intended to mean that all case managers are to perform the screening function but rather that if one full-time screener cannot be justified, then it is assigned as an added function to a case manager.

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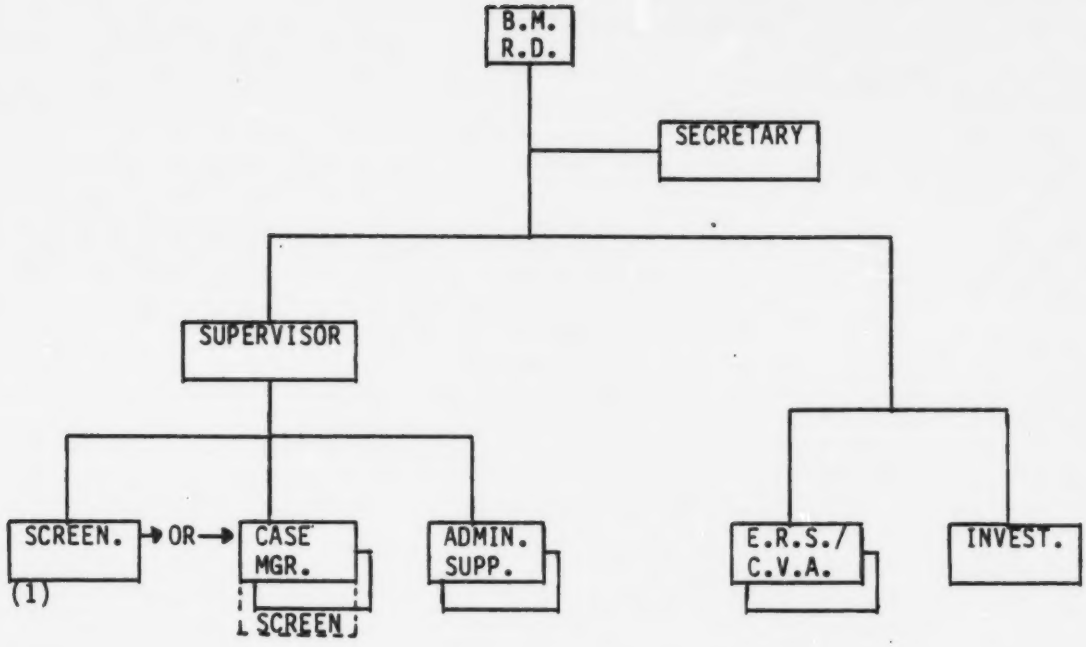
MODEL "B"



(1) Same note as in Model "A" applies

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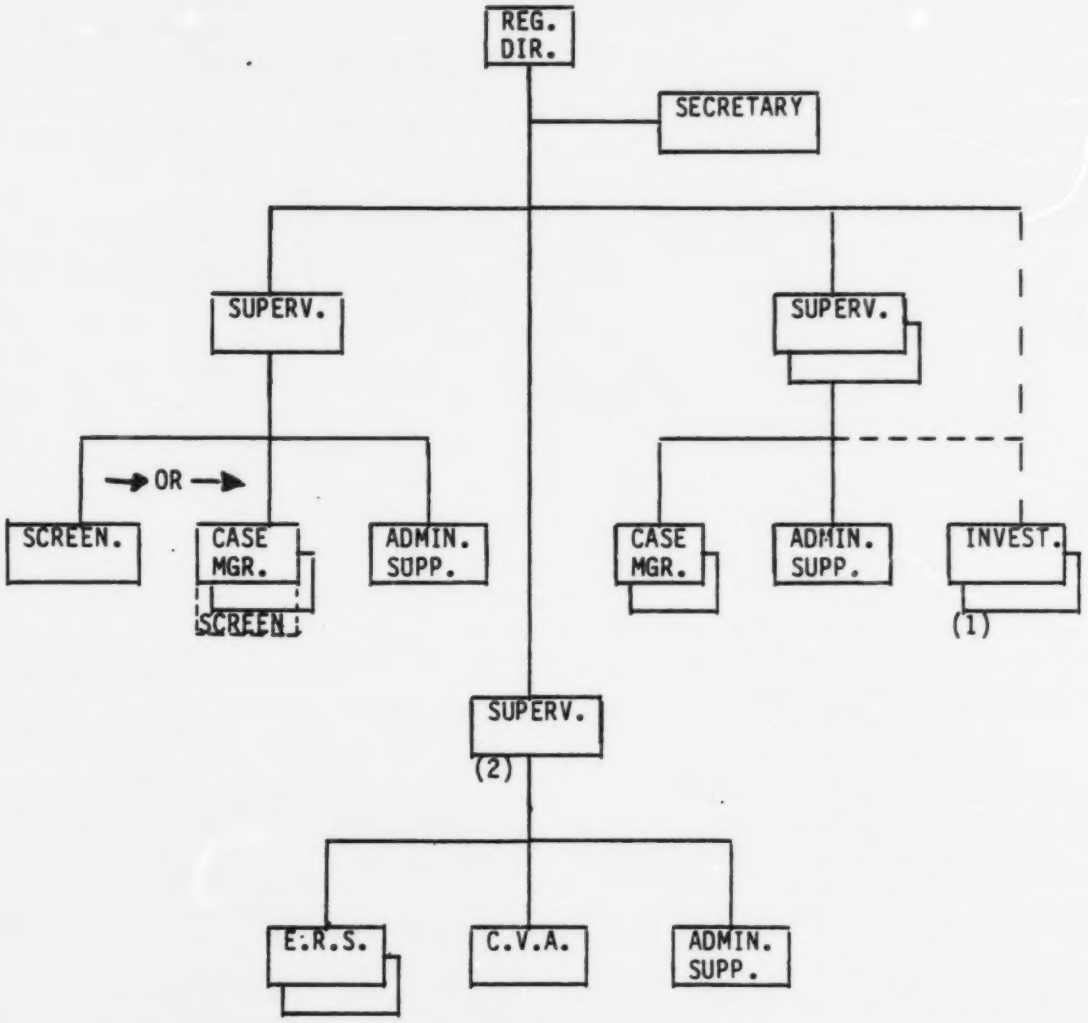
MODEL "C"



(1) Function could report to supervisor but preferably to Regional Director

(2)- Supervisor could or could not be present depending of office size and number of employees assigned. Not present in Edmundston, Campbellton, Bathurst and Newcastle.

- If supervisor is not present, the functions underneath could report to one supervisor while respecting the above stated principles but preferably directly to the Regional Director.

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In looking closely at all the Models, they are in fact similar since they respect the same principles and also they are influenced by how the work is packaged, i.e. - case manager, investigator, etc.

The preceding Models for delivery are also supported by the expanded mandate as recommended in the Report "Income Assistance in New Brunswick - Objective 1990".

We should recognize that some variations of application may be necessary because of valid limitating factors, however, to the extent we are able to influence those factors, the Model(s) should apply.